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ABSTRACT

A study assessed the operation of the Adult Education Act State Grant Program to provide an analytic description of the state-administered program with emphasis on program participants, and to identify a set of impact measures that can be studied in a longitudinal design. A core study was conducted based on data from site visits, and seven survey instruments obtained information from state and local level project administrators, teachers, and students. Survey respondents included 404 local project directors, 434 teachers, 436 community representatives, and 1177 project participants. Federal and state-level operations, local project resources and administration, instruction at adult education projects, participant-related characteristics, participant views of the program and its benefits, and special features of the program in the commonwealths and territories were evaluated. Data revealed that the program is benefiting a reasonably large number of adults at a remarkably low federal cost. The study did, however, reveal a need for clarification of the program's intended target population, more innovative and aggressive outreach and coordination efforts, more appropriate institutional settings, increased teacher recruitment and training, expanded supportive services, and greater assistance to the states in the area of planning. (MN)

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AN ASSESSMENT OF THE STATE-ADMINISTERED PROGRAM OF THE ADULT EDUCATION ACT

FINAL REPORT

Submitted to:

OFFICE OF PROGRAM EVALUATION
DEPARTMENT OF EDUCATION
Washington, D.C.

U S DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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July 14, 1980

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The project presented or reported herein was performed pursuant to a contract with the United States Department of Education. However, the opinions, conclusions, and recommendations expressed herein do not necessarily reflect the position or policy of the Department of Education, and no official endorsement by the Department of Education should be inferred.

This report is made pursuant to Contract No. 300-78-0469. The amount charged the Department of Education for the work resulting in this report (inclusive of the amounts as charged for several related reports also submitted under this contract) is approximately $336,000. The names of the persons employed or retained by Development Associates with managerial or professional responsibility for this project and this report are listed below:

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PREFACE

This study was conducted for the Office of Program Evaluation of the Department of Education. Pursuant to a competitive procurement, work began on the study in the fall of 1978, most data were gathered during the fall of 1979, and analyses were performed and the report written during the spring of 1980. In commissioning the study the Office of Program Evaluation sought an analytic description of the Adult Education Act's State-Administered Program. The purposes of the study were to assist program policymakers and administrators in the Department to manage the adult education program, and to assist in the design of anticipated studies of the program's impact.

From the study's inception, the National Advisory Council on Adult Education provided valuable support. Evaluation design materials previously developed by the NACAE were made available, and the DA study director met with the NACAE Evaluation Committee to review plans, instrumentation, and preliminary findings. The NACAE also endorsed the concept of the study and actively encouraged the support of state and local administrators. NACAE's Executive Director, Gary Eyre, and the chairperson of the Evaluation Committee, Eugene Madeira, were especially supportive of this study throughout.

In addition, Development Associates acknowledges the invaluable assistance of Eugene Tucker and Mary Lou Stagg of the Office of Program Evaluation; and of Paul Delker, Donald Snodgrass, Joe Vettickal, Ned Bryan, Sally Grimes, and Jorie Mark of the Division of Adult Education. Paul Christensen of the Far West Laboratory for Educational Research and Development conducted the substudy of the Pacific territories. Also of major importance to the study was assistance in the design stages provided by Arden Grotelueschen of the University of Illinois and Dennis Gooler of Syracuse University. During the data analysis phase, the assistance of Stanley Lemeshow of the University of Massachusetts, James Drew of Iowa State University, and Douglas Wright of the Bureau of Labor Statistics were quite helpful.

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CHAPTER 1

INTRODUCTION

An estimated 25 million adults who experience personal and social disadvantage due to inadequate basic education actually want and are capable of benefitting from adult education. An additional 25.5 million adults are estimated to lack sufficient mastery of basic education skills to function effectively in society or to lack a secondary school graduation certificate.[1/] Approximately one-fifth of the U.S. adults have been judged "functionally incompetent."[2/]

Through the State-Administered Program of the Adult Education Act (P.L. 91-230, as amended) over 100 million federal dollars have been combined with state and local funds during 1980 to support over 2,748 local adult education projects, serving approximately 2,003,013 adults.[3/] The Division of Adult Education has the responsibility for the administration of adult education programs within the U.S. Department of Education.

Although much information on the adult education program exists, there is little coherent data on local program operations that is national in scope. As a result, in 1978 the Office of Evaluation and Dissemination in USOE commissioned a national assessment of the operation of the Adult Education Act State Grant Program. The purposes of that study were (a) to provide an analytic description of the Grants to States Program, with particular emphasis on program participants and (b) to identify a set of impact measures that can be studied in a longitudinal design. This report contains the major results of that study.

1/ Development Associates, Inc. "Survey of Adult Education State Directors" developed as a part of this study. Dec. 1979-Feb. 1980. Response to Items 2 and 7.

2/ Buel, R.L. Final Report: The Adult Performance Level Study. Austin, Texas, University of Texas, 1977. p.41.

3/ "Survey of Adult Education State Directors" as part of this study, op.cit., Items 2 and 4.

A. STUDY BACKGROUND

The Adult Education State-Administered Program is authorized under the Adult Education Act (Public Law 91-230, as amended). The program began in 1965 under the Economic Opportunity Act with a funding level of $18.6 million. In 1966, the program was established under elementary and secondary education legislation and formalized as an integral program in the U.S. Office of Education with a funding level of $20.7 million. In Fiscal Year 1980, the funding level had reached $100 million.

The purpose of the program, as stated in the 1978 legislation, is:

> to expand educational opportunities for adults and to encourage the establishment of programs of adult education that will: (1) enable all adults to acquire basic skills necessary to function in society; (2) enable adults who so desire to continue their education to at least the level of completion of secondary school; and (3) to make available to adults the means to secure training that will enable them to become more employable, productive and responsible citizens.

The program is operated through formula grants to states for the education of adults. Eligible adults are defined as persons who are 16 or more years of age and who: "(1) lack sufficient mastery of basic educational skills to enable them to function effectively in society or who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (2) are not currently required to be enrolled in schools." The state education agency makes project funding decisions based on plans and proposals submitted by local education agencies and by public or private non-profit agencies, organizations and institutions. Ten percent of the total cost of any program must be covered by the state agency, with up to 90% covered by federal funds allocated to the state. Special emphasis is to be given to adult basic education programs and not more than 20% of the state's allotment may be used for programs of equivalency for a certificate of graduation from a secondary school.

In November 1973, an evaluation was completed[4/] of the effects of the Adult Basic Education (ABE) Program on what was then its priority group -- adults from ages 18 to 44 years with less than eight years of schooling. Information was collected on the effectiveness of ABE in improving literacy, raising earnings, and increasing intangible personal benefits across a variety of programs from a representative sample of participants over an 18-month period. The study found that most ABE classes met in school buildings two evenings a week from September through May, and the length of the average class session was about three hours. Enrollment in classes in November 1971 ranged from three to 80, with an average of 16 students per class. Students generally had very positive opinions about their ABE experiences and their improvement in reading, writing and mathematics. Most of them gave ABE credit for job and earnings improvements. However, extensive statistical analyses of the data did not indicate any clear or convincing relationships between program characteristics or classroom methods, and the differential gains that students made in earnings and in academic achievement, as measured by basic skills tests.

Other national level assessments of the State-Administered Program include: a report by Kirshner Associates[5/] completed in 1976 based entirely on secondary data analysis approaches, several management performance reviews by the National Advisory Council on Adult Education,[6/] and a report released in June 1975 by the Comptroller General of the United States which concludes:

> Since it began in 1965, the Adult Basic Education Program has expanded educational opportunities by establishing broadly available programs for those adults who want to continue their formal education through completion of the 8th grade and in some cases through high school.

4/ Systems Development Corporation. A Longitudinal Evaluation of the Adult Basic Education Program. Nov. 1973, pp. 2-20.

5/ Kirshner Associates, Inc. Summary Report: An Analysis of Selected Issues in Adult Education. Prepared for Office of Planning, Budgeting and Evaluation, Office of Education, DHEW, 1976 (mimeo). p. 4.

6/ National Advisory Council on Adult Education. Adult Education Futures and Amendments, Survey of State Report. Washington, D.C., Government Printing Office, 1977; An Assessment of the Federal Adult Education Act Program. Washington, D.C., Government Printing Office 1977; etc.

> Although the Adult Education Program has had positive achievements, as currently funded and operated it is successfully reaching only a small fraction of those needing it, particularly among the more educationally deficient.[7/]

Also noteworthy are a highly influential January 1978 report by Peat, Marwick, and Mitchell[8/] for the Department of Health, Education, and Welfare's Office of Planning and Evaluation, and the assessment, on October 4, 1977, of then Assistant Secretary of Education Mary Berry in testimony before the Senate Human Resources Subcommittee, both of which were far more negative in tone. The Peat, Marwick, and Mitchell study concluded that there is a lack of basic educational attainment programs for the indigent and elderly, and that while programs directed at these groups exist, "they are usually run in traditional ways that are not responsive to the needs of the people who may be uncomfortable and may not learn well in classroom environments."

The Assistant Secretary concluded:

> Evaluations of the Adult Basic Education program indicate that few of the target population participate, and that even when they do participate, relatively few are helped by the program. The major difficulties are poor outreach and the use of teaching methods which are adequate for young children but are offensive to adults and work poorly. The targeted population points toward the need for some consideration to be given to developing curricula and to training specialists who are able to teach adult learners. In addition, use of extension agents and initiation of other outreach efforts conducted in conjunction with state and local agencies and community-based organizations might improve our results.[9/]

7/ Comptroller General of the United States. The Adult Basic Education Program: Progress in Reducing Literacy and Improvements Needed. Report to Congress, Washington, D.C., Comptroller General, June, 1975.

8/ Peat, Marwick, and Mitchell. Final Report: A Study of the Supply of Adult Learning Opportunities. Prepared for Office of Planning and Evaluation, DHEW, Jan. 1978, pp, vi-vii.

9/ Mary Berry, Assistant Secretary for Education. Statement before the Subcommittee of Education, Arts and Humanities of the Committee on Human Resources, United States Senate, 95th Congress, 1st Session on S.1753, Part 1, October 4, 1977, pp. 49-50.

Building on the findings and conclusions of such studies and the testimonies from key individuals and groups, in 1978 significant changes in the Adult Education legislation were passed. The 1978 amendments expanded the definition of persons eligible for program services and modified state planning requirements. Prior to 1978, program services were directed toward persons who did not have a certificate of graduation from a school providing secondary education and who had not achieved an equivalent level of education. The new legislation permits serving persons with a secondary education graduation certificate if they lack sufficient mastery of basic educational skills to function effectively in society.

Prior to 1978, each state submitted an annual program plan to the U.S. Commissioner of Education. The program Rules and Regulations specified that each plan must be in sufficient detail to enable the Commissioner to determine whether the provisions of the Act and the Regulations were being administered efficiently, and to determine whether and to what extent, substantial progress was being made with respect to all appropriate segments of the adult population in need of adult education.

The 1978 legislation significantly modified state plan requirements. Beginning in 1979, plans have to cover a three-year period and describe the means by which representatives of business and industry, labor unions, state and local education and training agencies, churches, voluntary and community organizations, and representatives of special adult populations were involved in the development of the plan and its implementation. The legislation also requires state plans to set forth a program for the use of funds with respect to all segments of the adult population in the state, including residents of rural areas, residents of urban areas with high rates of unemployment, adults with limited English language skills, adult immigrants and institutionalized adults. Further, the plan must: (1) identify adult education needs, the other resources in the state available to meet those needs, and state goals for the three-year period; (2) provide for the cooperation and coordination of Adult Education services at the state and local levels; (3) describe the means by which the delivery of adult education services will be significantly expanded through the use of agencies and institutions other than the public school system; (4) describe efforts to assist adult participants

in adult education programs through flexible course schedules, convenient locations, adequate transportation and meeting child care needs; and (5) set forth the criteria by which the state will evaluate the quality of proposals from local agencies and institutions.

The present study therefore began in the fall of 1978 at a time of significant legislative and bureaucratic change. Indeed, it was in part conceived of as an opportunity to gather baseline information reflecting the nature of the program just as the first effects of the 1978 legislation would be felt. In many respects, the data gathered and reported herein can be viewed as a partial test of some critical assumptions of the 1978 amendments, as well as a point of comparison for future studies which may have interest in the impact of the amendments and actions taken as a result.

B. STUDY PURPOSE AND OBJECTIVES

The study was intended to provide a descriptive assessment of the State-Administered Program and to be a prelude to a larger impact evaluation. The goal was to develop descriptive material which would be of assistance in federal program management and would facilitate the development of an appropriate longitudinal impact evaluation design. Very little recent data exist on the nature of the program, especially below the state level of the program. Thus, it was decided that the study would include state and local levels of the program, with special emphasis to be given to issues related to program participation and the implications of the new legislation on local program operations.

More precisely, the major goals of the study were: (a) to provide an analytic description of the State-Administered Program, with particular emphasis on program participants, and (b) to identify a set of impact measures that can be studied in a longitudinal design. Data on participant access and impact would be used in federal program monitoring and management activities, would be of interest and use to practitioners at the state and local levels, and would address issues expected to be of interest to the Congress.

Four more specific objectives of the study existed:

1. Gather information to describe the nature and operations of state and local adult education programs in terms of the 1978 legislation.

2. Describe and assess the process of implementing the new adult education legislation at the federal and state levels.

3. Describe and assess the state planning and management processes, with particular attention to: (a) how federal funds for state administration are spent, (b) the extent of interagency cooperation regarding adult education at the SEA level, and (c) the extent and effectiveness of assistance provided to the local level.

4. Address a set of questions raised by USOE in the Request for Proposals which focus on the nature of local projects and the number and characteristics of project participants.

After discussions with officials and others associated with adult education at the federal, state, and local levels, and conducting a systematic review of state plans, previous adult education studies, and other salient literature, a set of major and related study questions emerged. It was agreed that by addressing these questions the objectives and basic purposes of the study would be achieved. The major questions which governed the design and implementation of the study were:

1. What is the legislative, social and organizational framework in which the program functions?

2. What resources are available from the Division of Adult Education (DAE) to state and local levels and how have they been perceived?

3. What are the state level resources and functions?

4. What are the resources and organizational characteristics of local sponsors/providers of adult education?

5. What have been the efforts to recruit and maintain program participants?

6. What are the characteristics of instructional settings?

7. What are program benefits to participants and society?

8. What aspects of the adult education setting are associated with benefits to participants?

9. What are appropriate methodological guidelines for conducting a study of adult education program impact?

C. CONCEPTUAL FRAMEWORK

When conducting complex studies such as this one, it is useful to develop a conceptual framework or model of the program under study which explicates the linkages between program components and activities. Such a framework helps in understanding the program and can guide the development and implementation of the study as well as the analysis and presentation of its results.

Figure 1 presents the model guiding this study. It provides an overview of both: (a) the functional relationships among the elements of the State-Administered Program operated under the Adult Education Act and (b) the structure of this report, indicating the chapters which discuss these elements.

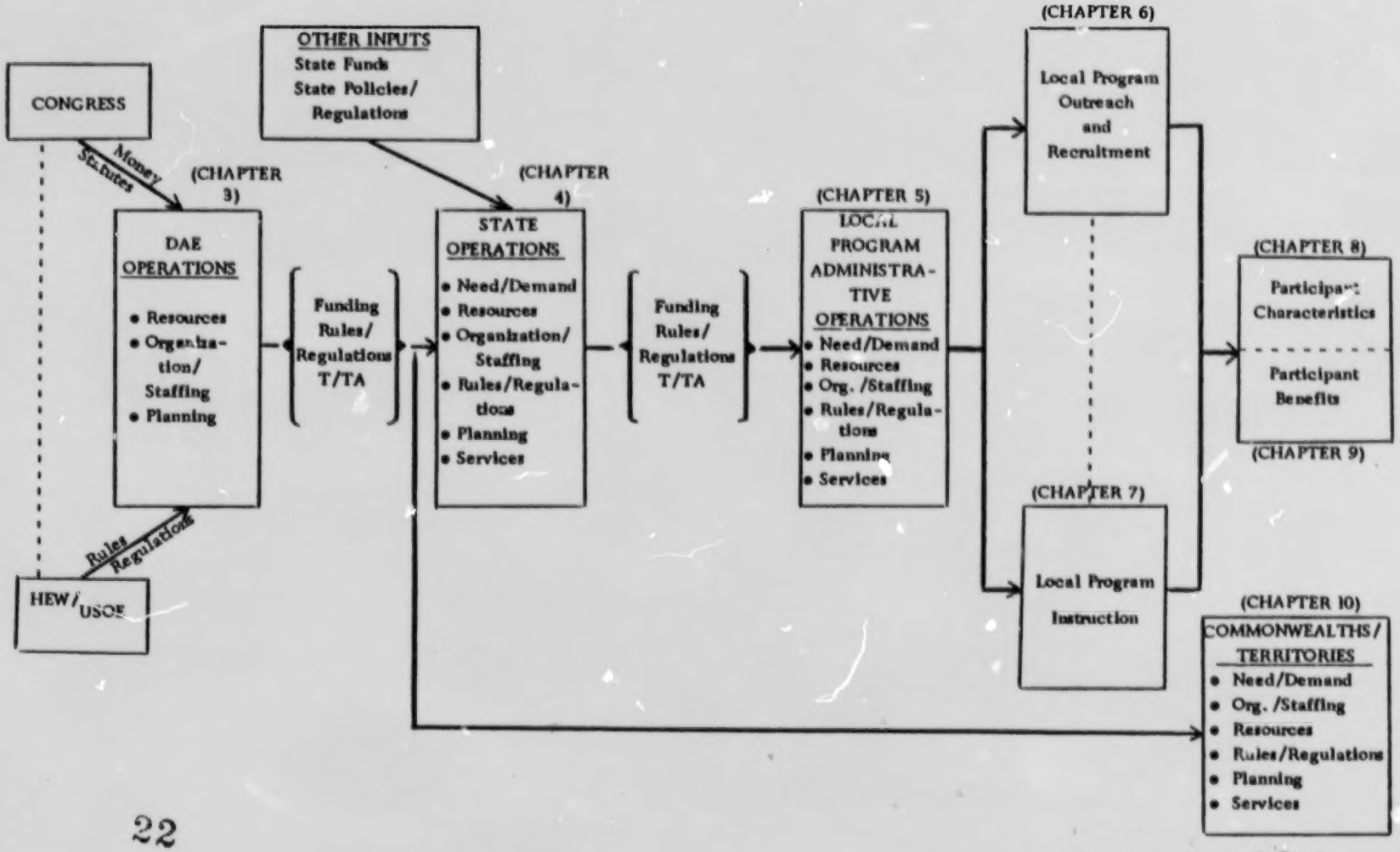
As illustrated, major program inputs, activities, processes, and results can be traced from Congress through federal, state, and local administrative structures, to the local instructional projects, and finally to individual students who benefit from them. Each of the three administrative levels receives inputs in the form of money, policy guidance and some form of training and technical assistance, which in the case of the federal and state levels are their primary outputs as well. At the local level, the two critical administrative areas are outputs: (a) outreach and recruiting efforts, and (b) the retention and instruction of participants. These areas, in turn, directly effect the types of participants in a project and the benefits they receive.

A recurring issue in the management of the federal Adult Education program is that of how to relate to the commonwealths and territories of the Pacific Basin and the Caribbean.[10/] As shown, these programs relate to the Division of Adult

[10/] i.e., Northern Marianas, Guam, Trust Territory, American Samoa, Puerto Rico, and Virgin Islands.

FIGURE 1

STATE-ADMINISTERED PROGRAM: FUNCTIONAL OVERVIEW



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Education in the same way as state education agencies. However, the programs function in unique geo-cultural contexts, have central governments which relate to the U.S. federal government in a manner different from the states, and have special funds set aside for them in the Adult Education legislation. At times their staffs emphasize the similarities to the 50 states and at other times they emphasize differences. As a result, the Division of Adult Education has been left with questions regarding how best to deal with these programs. Furthermore, how they should be incorporated in impact evaluations of the federal program has been particularly unclear. As a result, this study included a substudy devoted to addressing this issue.

D. ORGANIZATION OF THE REPORT

As indicated in Figure 1, each of the major programmatic components relates to chapters in this report. Following this introduction and a chapter on study methodology, a descriptive analysis of the program begins. Chapter 3 describes the federal level of the program, including its legislative history and administrative context. Chapter 4 describes state-level operations, emphasizing state planning and the states' relationships with local grantees.

Chapters 5 through 8 focus on local projects. Chapter 5 describes their resources, organization, planning and other aspects of central project administration. It also addresses the important project components of outreach and recruitment. Chapter 6 presents findings on the location and nature of project instruction, and Chapter 7 describes the characteristics of a national sample of students enrolled in the program during the spring of 1979. Chapter 8 presents the results of interviews with many of these students, as well as relationships between student data and responses of their teachers and project staff.

Chapter 9 presents the results of the substudy of the commonwealths and territories. It includes a brief description of these six programs and addresses the issue of their similarities and differences with the 50 states. Chapter 10

provides an overall summary of the study's major findings and conclusions organized in terms of issues of some importance as well as some reflections on their implications for federal, state and local level programming.

In terms of the two overall goals of the study, Chapters 3 through 9 provide an analytic description of the program. The second goal, to identify impact measures and related methodological issues, is addressed to some extent in Chapter 2 and elsewhere throughout, but also has been the subject of separate communications not incorporated in this report.

CHAPTER 2

STUDY METHODS

The general plan for this study was built around a request for proposals from the Office of Evaluation and Dissemination (OED) of the U.S. Office of Education (USOE). That request set forth the study's general purposes, several specific management and policy oriented questions to be addressed, the general approach to be followed, and the time and financial resources available. The contract for the study was competitively awarded to Development Associates, Inc. (DA), and work began in October 1978 with an extensive review of background information and issues. Resulting from this review, two substudies were added to the initial scope of work and the final design for the core study and substudies prepared. Using several methods and techniques, data were collected and analyzed during 1979 and early 1980. The purpose of this chapter is to provide a relatively detailed description and assessment of the strategies and procedures employed.

A. BACKGROUND ISSUES AND INFORMATION

In developing the study design a systematic review was made of state plans, evaluation reports, annual performance and financial reports, and over 300 documents gathered during a thorough review of salient literature. The results of that effort were summarized in an interim study report titled Legislative and Programmatic Trends in Adult Education, submitted to USOE July 2, 1979. What was learned in the process of preparing that report was critical to the design and analysis of the study.[1/]

Early in the background literature review, the National Advisory Council on Adult Education made available an evaluation study design developed under the Council's auspices but never implemented or previously released. Much of the material in that document was of significant use in preparing this study. Also

1/ Development Associates, Inc. Legislative and Programmatic Trends in Adult Education. Prepared for Office of Evaluation and Dissemination, Office of Education, DHEW, 1979, (mimeo).

of particular importance were Evaluation in Adult Basic Education: How and Why by Grotelueschen, Gooler, and Knox,[2] Last Gamble on Education by Mezirow, Darkenwald, and Knox,[3] and the Systems Development Corporation's 1973 Longitudinal Evaluation Program.[4]

As important to the design as the review of existing literature were interactions with knowledgeable individuals. As the study began, USOE's Division of Adult Education was holding regional meetings with state directors of adult education to explain the 1978 legislative mandates and their rather substantial, immediate implications. The DA study director participated in three of the four regional meetings which were held, and thereby formally (and informally) discussed general issues with the state directors and obtained their input. In addition to these meetings, staff attended regional hearings on the new legislation and proposed regulations. These provided the opportunity to meet the remaining state directors plus other vitally interested individuals from local school districts, universities, and other organizations. The decisions to design and implement the substudies of state plan development and of the commonwealths and territories resulted from discussions and issues raised at these meetings.

Also significant to the design were inputs from members and staff of the National Advisory Council on Adult Education (NACAE), staff of the Division of Adult Education (DAE), members of an Office of Education advisory committee to the study, and several individual experts in the field. Dr. Arden Grotelueschen, of the University of Illinois and Dr. Dennis Gooler, of Syracuse University served as consultants to the present study which also benefited from having a staff member who had worked on the 1973 SDC evaluation. On three occasions during the design process, study staff met with the evaluation committee of the

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2/ Grotelueschen, A.D., Gooler, D.D. and Knox, A.B. Evaluation in Adult Basic Education: How and Why. Danville, Illinois: Interstate Printers and Publishers, Inc., 1976.

3/ Mezirow, J., Darkenwald, G., and Knox A.B. Last Gamble on Education. Washington, D.C., Adult Education Association of the USA, 1975, p.50.

4/ Systems Development Corporation. A Longitudinal Evaluation of the Adult Basic Education Program. November 1973.

NACAE to discuss plans and issues. Members of the committee, other members of the Council and NACAE staff commented on draft plans and instruments and facilitated field tests and subsequent data collection activities.

Within the Office of Education, the study was assisted by an advisory committee chaired by the project officer from the Office of Evaluation and Dissemination and composed additionally of representatives from DAE, the USOE's Division of Planning and Budgeting, and the Office of the Assistant Secretary for Policy and Evaluation. This committee met with study staff to finalize the general plan of the study and subsequently to review the final technical design and instrumentation. In addition to the state directors, NACAE, and the USOE advisory committee, significant insights were supplied by individual DAE staff members, individuals at the National Institute of Education, and several university-based adult educators.

Complementing the review of literature and discussions with salient individuals, the study design was based on an analysis of available statistical reports. Each year the states submit an Annual Performance Report and a State Financial Report to USOE. These reports are reviewed by DAE and the performance report data are compiled into an analytic summary report by the National Center for Education Statistics (NCES). Although always reflecting data which are one to two years old and containing no information on the numbers or nature of local projects, these data did provide reasonably accurate state and national estimates of the numbers of program participants and program personnel.[5/] In designing the study the most recent NCES final and draft reports were reviewed. Study staff also separately analyzed the performance and fiscal data which had been most recently received but not yet summarized by NCES.

A second, and ultimately much more significant, data base was also used in designing this study. As part of the reporting system associated with Section 437 of the General Education Provisions Act, USOE annually collects information

5/National Center for Education Statistics. Adult Education - Adult Basic and Secondary Level Program Statistics 1976.

from the states on each of their adult education grants. This data file is unique in that it offers the only known listing of individual projects funded through the Adult Education Act. The file was made available to the study team by USOE and formed the basis for the sampling design. Although there were problems associated with the completeness of the data reported by the states,[6] the file played a central role in developing the study design.

B. GENERAL STUDY DESIGN

The study consisted of a core and two substudies. The substudies were conceived after work on the core study had begun and were designed to focus special attention on several issues of state-federal concern which had emerged as of particular interest.

To optimally address the major study questions, the core study involved three surveys, one to obtain state-level information, one to obtain local project-level information, and one to obtain information from teachers and students.

Overall, the core study was based on data from the state adult education directors in all 50 states and the District of Columbia, and mail and personal interview data from 488 local projects.

State level data were obtained through a mail questionnaire sent to the directors of adult education in the fifty states and District of Columbia; 100% of the state directors responded to the mail survey. Supplementing the mail questionnaire data, personal interviews were conducted during visits to the State Education Agencies in 22 of the states which were included in the sample of visited local projects.

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[6] Data from several states were missing entirely and in others data were incomplete. When state directors of adult education were contacted directly for these data, they were readily supplied.

To obtain local project level data, a national probability sample of 420 local projects in 47 states was mailed a questionnaire to which 404 (96.2%) of the local directors responded. The sample was stratified on the basis of type of project sponsor (e.g., school district, community college, and so forth) and size of federal grant.

To obtain teacher and participant data, site visits were made to an independently drawn probability sample of 111 local adult education projects, also stratified on the basis of type of sponsor and size of federal grant. The site visits, which included 27 projects also surveyed by mail, produced information from a total of 111 project directors, 434 teachers, and 436 representatives of community organizations, plus information about 3,115 participants, 1,177 of whom were interviewed as well. The visited projects were located in 40 states.

The state and local mail survey data were collected during the months of November and December 1979 and January 1980, with intensive efforts to follow-up non-respondents beginning in mid-December. Site visits occurred during November and December 1979. The visits were made by Development Associates' professional staff following special training which focused on the instruments and procedures specific to this study. In the six largest local projects (i.e., those receiving federal grants of $500,000 or more), visits averaged five persondays; elsewhere the visits averaged two days per site.

The first of the two substudies was concerned with the manner in which states responded to the changes in state planning requirements mandated by the legislation of 1978. The objective of the substudy was to describe the strategies and techniques used, and the difficulties encountered by states in developing a three-year state plan in compliance with the new legislation.

Because the states had to develop their plans within only four to five months with no extra resources and no clear and final set of federal regulations, it was assumed the results might be less than ideal. With this as a premise, the underlying purpose of the substudy was to document the plan development process in selected states so that information could be produced which would be helpful

to DAE and the states in developing the next set of three-year plans, (i.e., in those to be submitted in the spring of 1982).

Procedurally, seven states were purposively selected for the substudy. Selection criteria included geographic representiveness, size of adult education staff, perceived attitude toward DAE and the new legislative requirements, and continuity of leadership (i.e., states without a director or in which the position had recently been filled were excluded). The seven selected states were: California, Delaware, Kansas, Lousiana, Mississippi, New Jersey and New Mexico. Two visits were made to each state, once early in the state plan development process and once in the final phase. During the visits, adult education staff and representatives of public and private organizations concerned with adult education were interviewed and several participatory planning meetings observed. Once the state plans were submitted and had been approved by USOE, a final telephone interview was conducted with the state directors. The results of this substudy have been summarized in two reports and submitted to USOE under separate cover,[7/] but some data and insights obtained through it are incorporated in this report.

The second of the two substudies was concerned with the State-Administered Program as it operated in the six commonwealths and territories of the Pacific Basin and Caribbean. Initially, the study excluded these areas, but during the design phase, the desirability and feasibility of their inclusion on a limited basis became clear. The focus of the substudy was on assessing the similarities and differences between these programs and those of the 50 states, with particular attention given to their relationship with DAE and to their inclusion in future evaluations of the Adult Education Act.

7/ Development Associates, Inc. Adult Education State Plan Development: Approaches to Participatory Planning in Selected States and Difficulties Encountered and Potential for Technical Assistance in Developing Three-Year State Plans in Adult Education, Prepared for Office of Evaluation and Dissemination, Office of Education, DHEW, January 1980.

The design of the substudy paralleled in part the state level aspects of the core study, with both of its mail and site visit questionnaires being used in each of the six jurisdictions. In addition, the field investigators used their knowledge and experience to interview key individuals, participate in group sessions, and observe projects and classrooms in order to address the substudy's major objectives.

Data for the Pacific Basin portion of the substudy were collected during the months of August and September 1979. To implement the substudy, Development Associates contracted with Paul Christensen of the Far West Laboratory for Educational Development. Dr. Christensen has worked for over a decade in educational research in the Pacific islands. Parallel data for the Caribbean portion of the substudy were gathered during March 1980 by George Reagan, an experienced Development Associates' field investigator who previously has worked in the Caribbean, and who collected data for the state planning substudy in three of the seven states.

C. SAMPLING DESIGN

State Education Agencies (SEAs) and local adult education projects were contacted for the core study. The SEA universe consisted of all states and the District of Columbia. As mentioned earlier, the territories and commonwealths were not included in the core study due to their special educational interests and administrative arrangements.

The universe of local projects consisted of all projects funded under the Adult Education State-Administered Program which: (a) were funded and operational in both FY 78 and FY 79, and (b) offered instructional and/or learning opportunities to the legally eligible, non-institutionalized public. The rationale for using these two screening factors was as follows. Using operational projects already funded in both of these years avoided the chance of gathering data from projects still having startup implementation problems; these are transitory factors which could conceivably confound and bias the information

gathered. The limitation to non-institutionalized individuals and instructional projects (thus excluding teacher training projects, curriculum development projects, and projects operating exclusively in prisons, hospitals, and other institutions) was by agreement with USOE. The sampling frame therefore consisted of 2062 local projects.

In summary, data were collected from SEAs and local projects through mail surveys and onsite visits. SEA directors in the 50 states and the District of Columbia were surveyed by mail. All 51 state directors responded to the mail survey. Twenty-two SEA directors were also interviewed in person during brief on-site visits. These directors were purposively selected, using the criteria of accessibility and general representativeness.

Local project data came from two sources: (a) a stratified random sample of project directors contacted by mail, and (b) an independently drawn multi-stage sample of local projects which served as a basis for reaching local directors, teachers, students, and representatives of community organizations. For the mail survey a random sample of 420 local directors was surveyed. The projects were selected from among those which (a) offered instruction to non-institutionalized individuals, and (b) were operational in both FY 78 and 79. The projects were divided into eight strata based on type of sponsoring organization and size of their federal grant, with projects randomly selected from within each group except where all projects in the stratum were surveyed. A summary of local mail survey response rates is presented on the next page.

TABLE 2.1

SUMMARY OF LOCAL MAIL SURVEY RESPONSE RATES

	LEAs*			Univer-sities	BOCES	Tech. Inst.	Insti-tutions	Other	TOTAL
	Hi	Med	Lo						
No. Projects in Strata	232	632	784	235	58	62	14	23	2040
No. Selected (% selected)	45 (19)	91 (14)	92 (12)	72 (31)	41 (71)	42 (68)	14 (100)	23 (100)	420 (21)
No. Responding (% Response)	44 (96)	87 (96)	90 (98)	70 (97)	40 (98)	38 (90)	14 (100)	21 (91)	404 (96)

*LEA: Hi = grant of $50,000 or more; med = grant of $10,000 - 49,999; lo = grant of $1,500 - 9,999.

Onsite visits were made to 111 randomly selected local projects. These projects were independently selected from the same sampling frame as the mail survey projects and were also divided into eight sampling strata based on type of sponsoring organization and size of federal grant. At each project, interviews were conducted with project directors, randomly selected teachers, and representatives of community agencies reported to be cooperating with the projects. Also, information was gathered about a random sample of the students of each of the selected teachers, and various attempts were made to interview these students. The students were randomly selected from those taught by the teachers during the spring of 1979; therefore, many (i.e., about 75%) were no longer in the program. A summary of local site visit respondents is presented in Table 2.2.

TABLE 2.2

SUMMARY OF FIELD DATA COLLECTION RESPONSE RATES

Sampling Strata \ Data Instrument	NUMBER (%) COMPLETED				
	Project Director	Teachers	Partic. Data	Partic. Interview	Community Agency
LEA: Super Large (N=6)	6(100)	82(87)	389(99.7)	82(21)	34(83)
LEA: High (N=11)	11(100)	61(98)	334(99.7)	102(30)	47(75)
LEA: Medium (N=31)	31(100)	108(96)	772(97)	363(46)	122(84)
LEA: Low (N=39)	39(100)	84(94)	896(98)	389(42)	117(84)
University (N=12)	12(100)	59(95)	370(100)	130(35)	66(97)
BOCES (N=4)	4(100)	14(100)	97(97)	47(47)	14(88)
Technical Institutes (N=4)	4(100)	19(100)	106(99)	31(29)	21(100)
Others (N=4)	4(100)	7(100)	97(98)	33(33)	15(71)
TOTAL	111(100)	434(95)	3061(98)	1177(38)	436(85)

1. The State Education Agency Data Collection

a. State Agency Mail Survey

A mail survey questionnaire was sent to the adult education program director in all 50 states and the District of Columbia. This questionnaire was the prime source of state-level information regarding the operations of the program. A census approach was determined to be more appropriate than some form of sampling approach because of the wide diversity of program implementation processes and administrative mechanisms among the states and the relatively small number of state directors.

b. Site Visits to State Agencies

Personal interviews with directors of adult education were conducted during site visits to 22 of the SEAs. The purposes of the visits were to

validate and expand on the mail survey responses and to obtain specific information regarding possible measures of program impacts. To minimize study costs, the visited SEAs were in the states where local projects were also being visited.

2. Local Adult Education Project Data Collection

Data from local projects were obtained from two independent sampling designs: (a) for project level data, a mail survey of a stratified random sample of local project directors, and (b) for teacher and student data, interviews using a multi-stage probability sample design.

a. The Local Project Mail Survey

The local project mail survey obtained information from the directors of a nationally representative sample of local projects. The local projects are diverse, both across the nation and within individual states. The projects differ in many respects, some of which are (1) the type of sponsor (e.g., universities and colleges, local education agencies, institutions, private non-profit agencies, etc.); (2) the instructional setting or mode (e.g., classroom setting, homebased, tutorial, correspondence, etc.); and (3) the characteristics of the populations served (elderly, persons of limited English speaking ability, members of minority groups, etc.). These and other aspects of local projects were of interest, and were factors on which representativity was desired.

The basis for drawing the sample essentially was the only known source of project level data, the annual reports submitted by the states to USOE in compliance with the requirements of Section 437 of the General Education Provisions Act. These state-level reports provide an updated list of each local project plus information about each project indicating the: type of grantee or sponsoring agency, amount of federal funding, amount and purpose of federal expenditures, and the number of participants.

To ensure data fully responsive to the study's objectives, several different stratification factors were considered. Among these were: (a) the type of sponsoring agency, (b) the level of funding, (c) the level of participation; (d) the characteristics of the population served; (e) the characteristics of the area served; and (f) the mode(s) of instructional delivery. Of these factors considered, the first two listed had the properties of being closely associated to programmatic considerations and of being available almost universally for all projects from the 437 Reports. Further, type of sponsorship, was used because it was considered a highly effective stratification variable. That is, local projects within each of the sponsorship categories were expected to be quite similar to each other, thus yielding greater precision in results and a reduction in the sampling variances.

Type of project sponsor was selected as the primary stratification factor. It consisted of the following six major groups:

1. Local education agencies (LEAs) -- school districts and the like;
2. Universities -- four-year colleges and universities, and community colleges;
3. Boards of Cooperative Educational Services (BOCES) -- consortia of educational and other types of local and state agencies serving a multi-county area or a number of school districts in a single area or county;
4. Technical institutes -- secondary and postsecondary vocational and technical training centers serving single or multi-jurisdictional areas;
5. Institutions -- including schools for the deaf and/or blind, where not all participants live at the institution;
6. Other local projects -- including Indian tribal organizations, migrant organizations, community action agencies, and the like.

The first grouping (i.e., local education agencies) included 80.8% of the total number of local projects. Because of this uneven distribution and because a relatively high proportion of the LEA projects received small amounts of funds, the amount of federal grants was used as a secondary stratification factor. It was also assumed this would be a good proxy measure of the number of project participants, a figure which generally was not available. Therefore, to ensure representation from projects of various sizes, the LEA sampling frame was divided into categories based on low, medium, and high amount of federal grant for FY 78.

In addition, it was decided to exclude from the study local projects which received federal grants of $1,500 or less. Presumably, these projects had no administrative components (i.e., the AE funds simply paid for one part-time teacher), and it was decided the sponsoring agencies ought not be burdened with a request to participate in the study. These projects were all sponsored by LEAs and represented 4% of the total number of LEA projects.

In drawing the sample, local projects were randomly selected without replacement and with equal probability within each stratum. The sample for each stratum also was selected independently from selections in other strata.

In total, 420 projects were selected in the sample, which included some oversampling. This was based on the desire to have sufficient reliability for national estimates of pertinent statistics at a 95% confidence interval length around an estimate of p=.5 of approximately .05.

The sample size of 420 was estimated through an iterative process using the variance formula for stratified random sampling, which yielded an estimated total sample size of approximately 405. This was increased to 420 to allow for expected nonresponse and, further, to permit estimates at a national level for particular groupings of local projects (e.g., for local education agencies or for universities), allowing analyses for each of these groupings with more reliable estimates. The actual sample sizes and sampling rates are presented in Table 2.1. As the reader can see, an usually high level of mail survey response was obtained which adds to the confidence in the findings.

In summary, for the local project mail survey, the sampling frame was defined as local projects that were funded and operational in FY 78 and FY 79 and that provided instruction for learning to non-institutionalized adults eligible for program services. For the desired reliability, a stratified random sample including a total of 420 local projects was selected and 404 (96%) responses were obtained.

b. Site Visits to Local Projects

The site-visited projects were selected independently from those in the mail survey because the two samples were for different purposes and this approach optimized the quality of information gained at a relatively low cost and respondent burden level. That is, the site visit was designed to most efficiently obtain information from teachers and participants, while also obtaining supplementary project level information not feasibly gathered in a mail survey.

The sampling frame of local projects was the same as that developed for the local project mail questionnaire except that projects in the state of Missouri and in the institutional strata were excluded. During November and December 1979, the Missouri SEA refused to permit its local projects to participate in the study. Approval was given by the SEA in early January 1980, and Missouri did participate in the mail surveys of state and local directors. However, the needed approval came too late for their inclusion in the site visit portion of the study. Projects in the institutional strata were excluded from the site visit sampling frame because these few projects (14) were of relatively low interest and it was preferred to increase coverage elsewhere; also 100% of them had been included in the mail survey. Thus, the sampling frame for site visits consisted of those 1977 local projects outside Missouri which were funded and operational in FY 78 and FY 79, and which offered instruction to the non-institutionalized, eligible adult population

The general sampling approach used for selecting local projects was to stratify the sampling frame by the primary factor of type of sponsor and the secondary factor of project size, the latter expressed by level of funding.

Within this stratification matrix, the largest projects became self-respresenting strata, included in the sample with certainty (probability of 1.0), while smaller local projects were grouped into nonself-representing strata. Within each of the latter, two local projects were selected with equal probability and without replacement.

More specifically, 111 local projects were selected for the sample out of eight major strata. The six largest projects sponsored by local school districts were included with certainty and together constituted a stratum designated "LEA: Super High." The remaining LEA sponsored projects were divided, as in the mail survey, into three strata -- high, medium, and low -- based on the amount of their federal grant. The other major strata were composed of those projects sponsored by universities/community colleges, BOCES, Technical Institutes, and other agencies. To further ensure representivity across the variety of local projects, all but the LEA Super High strata were further subdivided on the basis of size of federal grant, and two projects were selected from each of these substrata.

In general, the total number of projects selected was the maximum possible given the resources available for the site visit portion of the study. Table 2.3 presents the number of projects in each strata and overall, and the number and percent of projects visited.

At each of the visited projects data were to be collected from (a) the project director, (b) a sample of teachers, (c) a sample of students, and (d) representatives of community agencies. Each of the 111 directors of the visited projects were successfully contacted for project background information and information on their views regarding potential impact evaluation measures. The sampling procedures and results for each of the other three site visit respondent groups are summarized below.

TABLE 2.3

LOCAL SITE VISIT: SUMMARY OF PROJECT AND RESPONSE

	LEAs*				Universities	BOCES	Tech. Insts.	Other	TOTAL
	Super Hi	Hi	Med	Lo					
No. Projects in Strata	6	213	622	764	230	58	62	23	1978
No. Selected Responding (% Responding)	6 (100)	11 (5.2)	31 (5.0)	39 (5.1)	12 (5.2)	4 (6.9)	4 (6.5)	4 (17.4)	111 (5.6)

1. Teacher (Instructor) Selection

At each local project, DA wished to select and interview a sample of participants. From prior experience, it was known that in many cases, the rosters of student names and addresses were exclusively in the possession of the teachers. Because of this, it was decided to select a sample of teachers first and then use class rosters of these teachers as a basis for drawing a random sample of participants.

More specifically, at each site a listing of the teachers, the courses taught by each teacher, and the instructional setting of each course was obtained. The sampling frame consisted of all teachers who had taught a project course funded by the State-Administered Program during the spring of 1979 and were residing in the general locality of the project. Teachers who had died or left the area were excluded from the sampling frame.

In order to assure representiveness of selected teachers and students, teachers were stratified by their predominant instructional setting. Teachers with courses in more than one setting were grouped by the setting most frequently

taught and the setting in which the teacher had the most students. Specifically, the categories of course settings were as follows:

- school classroom - including elementary, junior high, and high schools; and
- nonschool classroom - including mobile classrooms, worksites, learning centers, non-homebased individualized tutorial, correspondence courses, homebased tutorial and homebased family focused.

At each local project, a minimum of one teacher and a maximum of ten teachers were selected. The number of teachers selected at a project was based on the number of teachers identified for the school classroom and nonschool classroom sampling frames. Specifically, the number of teachers to be selected from the school classroom setting stratum is shown in Table 2.4. This sliding scale was determined (a) to minimize intraclass correlation of student responses, and (b) because the average number of teachers expected to be found was between six and twenty. The number of teachers selected from the non-school classroom setting stratum was based on the same criteria as used in the school classroom setting stratum. Thus, it was estimated that an average of six teachers would be selected at the majority of local projects.

TABLE 2.4

NUMBER OF TEACHERS SELECTED FROM TEACHERS IN SCHOOL CLASSROOM SETTING STRATUM

Total Number of Teachers in School Classroom Setting Stratum	Number of Teachers Selected
1	1
2 - 5	2
6 - 20	3
21 - 50	4
51 +	5

Overall, 459 teachers were selected in the sample and interviews were successfully completed with 434 (95%). This was a mean of 3.9 teachers per project, slightly less than was expected.

2. Participant Selection

The primary interest was in participants who had either completed at least one adult education course or who had withdrawn (i.e., "dropped out") from the project. Therefore, the participant sampling frame consisted of those enrolled in a course offered in the semester prior to the time of the site visit (i.e., the Spring 1979 semester). Because previous research on adult education programs has shown that a relatively large number (20-40%) of persons do not complete a course,[8/] the sampling frame was deliberately chosen to assure information could be obtained from (and about) persons who had completed the course in which they were enrolled, and persons who had not done so.

To develop the sampling frame, each selected teacher was requested to provide a listing of all participants who were in courses they taught in the spring of 1979. The listings included all participants who were enrolled for one or more of the teachers' courses any time during the spring of 1979. Thus, it included all persons who registered and those who subsequently withdrew from or dropped the course.

The number of teachers selected in each project varied from as few as 1 or 2 up to 10 (twice that many were sampled at the LEA "Super Large" projects). In order to obtain a sufficient number of participants at each site, it was determined that a minimum of 25 participants should be selected at each site if there were less than five teachers selected. If five or more teachers were selected, then five participants were randomly selected from each teacher roster. This scheme is summarized in Table 2.5.

8/Systems Development Corporation., op.cit.

TABLE 2.5
NUMBER OF PARTICIPANTS SELECTED PER
TEACHER AND PER PROJECT

Number of Teachers Selected*	Number of Participants Selected Per Teacher	Total Number of Participants Selected Per Project
1	25	25
2	13	26
3	9	27
4	7	28
5	5	25
6	5	30
7	5	35
8	5	40
9	5	45
10	5	50

*Includes teachers from both strata.

Two types of information were sought about participants: (a) descriptive information on their characteristics and their participation in the program, and (b) information on their attitudes and impressions of the program. The first type of information was to be gathered during the site visit from program records or teacher recollections about all participants selected. The second type of information was to come from the participants themselves. In terms of the goals of this study, the first type of information was more important than the second, and time was taken to obtain it at the expense of actual interviews.

Because of time limitations, although it was the method of second choice, participant interviews were generally conducted by telephone. Typically, field staff attempted to obtain telephone numbers on all selected participants and then to interview in person those without telephones. Since former (rather

than current) participants were sampled, adult education participants are known to be highly mobile, and participants often provide projects with incomplete or inaccurate information about their place of residence, a relatively low interview response rate was expected at the start. At least three attempts (including use of multilingual interviewers) were made to contact each participant. Yet, the interview response rate was 38% -- 1177 successful interviews. However, information was obtained from records on about 98% or 3,061 sampled program participants.

3. Community Organization Selection

To gain further information about the adult education needs of particular program target groups, existing barriers to program participation, and the extent of public participation in local project design, telephone interviews were conducted with the representatives of local agencies and organizations working with these target groups. The target groups, designated by the Department of Education, are as follows:

- Residents of rural areas;
- Residents of urban areas with high unemployment;
- Elderly persons;
- Adults with limited English proficiency;
- Institutionalized adults;
- Adult Indians;
- Adults from other minority groups;
- Immigrants; and
- Handicapped persons.

The representatives were selected through a "best source" nomination process. During the onsite visit, the project director was asked to identify five or six local agencies or organizations which worked with the adult education project. For each agency identified, the director was also asked to identify a knowledgeable individual in the organization who could be contacted and the target group(s) to which the organization primarily related. The director was then asked to identify any major agencies/organizations working with the target groups but which had not worked with the adult education program. In each site, the first six agencies listed were contacted. Thus, where possible, interviews were conducted with agencies which both worked with a target group and which

worked with the project; these were presumed to be the most knowledgeable sources of information. Where not possible, information on target group needs were obtained from agencies/organizations identified by the project director as particularly knowledgeable. Where there were less than six agencies identified in both categories combined, then interviews were with whatever number of agencies were identified.

Agencies were public or private, governmental or nongovernmental; no more than one person in each agency was interviewed. The definition of "community" was determined locally by the project director (i.e., to include as large a geographic area as seemed appropriate). Overall, 514 representatives of community agencies were identified for the survey, an average of 4.6 per site. Interviews were successfully completed with 436 (85%) of the agency officials, with the remainder unavailable in person or by telephone during the data collection period due to illness, job transfer, or other factors.

D. INSTRUMENTATION

Seven instruments were developed for the core portion of this study. These are:

- Local Project Director Mail Questionnaire;
- Local Project Site Visit Questionnaire (parts 1 and 2);
- Teacher Questionniare;
- Participant Questionnaire;
- Community Organizaton Questionnaire;
- SEA Director Mail Questionnaire;
- SEA Director Visit Questionnaire;

In addition, at the conclusion of the site visits to local projects, each staff person conducted an "Exit Interview" with the project director. In preparation for this meeting, the DA staff noted their answers to three questions on a form provided. They discussed these questions and other topics of mutual interest in an open-end, probing manner with the local project director. Following the exit interview, staff noted the project director's comments. They then recorded their own answers based on the accumulation of experiences onsite,

to the initial three questions, plus a fourth question. These questions were as follows:

- What appears to be one or two highly effective approaches taken by the program to meet the needs of the "least educated and most in need" of adult education services?
- In what ways and to what extent, if any, has there been an increase in community involvement in the program in the past 12 months, and if none, why?
- In what ways, and to what extent, if any, has the new adult education legislation and/or the new state plan or planning process brought changes to the program?
- Overall, to what extent are the needs of those "most in need" being met by the program?

Finally, the staff completed a brief form on which they summarized unique contextual or programmatic features associated with the site and methodological problems encountered.

Initial work on instrument development followed the extensive review of prior studies and salient literature previously discussed. Early drafts of items and questionnaires were related to the major and minor study questions and reviewed by personnel in the Division of Adult Educaton and by several state and local practitioners. Once complete drafts were prepared, they went through an iterative process of field testing, refinement, and further testing and revision. Overall, pretesting took place at seven local projects in four states and at three SEAs so that revisions could be made to reduce ambiguities and to simplify the data collection process. The field tests were conducted by trained one and two-person teams who administered the questionnaires and tested procedures on a small number of individuals in each site. Although not excluded, none of the seven local projects involved in the field tests was selected as part of the local project mail survey or for site visits. The three SEAs involved in the field tests did participate in the SEA mail survey but were not visited a second time.

Table 2.6, on the following page, presents a summary of the seven questionnaires and their relationship to the nine major study questions. In addition, the state and local directors' questionnaires were used in conducting the substudy of the commonwealths and territories. Copies of the seven data collection instruments are on file with the U.S. Department of Education.

Once developed, the questionnaires, along with the description of the entire study design, were submitted to the Federal Data Acquisition Council (FEDAC) for review. Approvals were received in October 1979 and data collection began in November 1979.

E. FIELD PROCEDURES

Prior to beginning data collection, considerable effort was devoted to a variety of key activities. Quite important among these were establishing a working relationship with the National Advisory Council on Adult Education and communicating frequently about the study to the state directors of adult education. The meetings and communications with both groups were critical in establishing a climate in the field supportive of the study, a factor which may have substantially contributed to the excellent mail survey response rate and other forms of grantee support. As a by-product of a variety of interactions, many state directors wrote letters or otherwise communicated to the selected projects in their states urging cooperation with the study.

Once all federal approvals for the study were received and the final samples of projects selected, a planned sequence of mailings occurred. These were as follows:

- a letter to each Chief State School Officer, co-signed by the director of DAE and the OED project officer, explaining the study and seeking cooperation from SEA personnel;
- a letter from the DA study director to each of the state adult education directors reminding them of the study, indicating a questionnaire to them would arrive in about a week, and providing the names of the local projects in their state selected for the survey;

TABLE 2.6

SUMMARY OF THE RELATIONSHIP OF MAIL AND SITE VISIT QUESTIONNAIRES TO THE MAJOR STUDY QUESTIONS

STUDY QUESTIONS	QUESTIONNAIRE TITLES						
	Local Director Mail Q.	Local Program Visit Q.	Teacher Quest.	Participant Quest.	Community Org.Q.	State Director Mail Q.	SEA Visit Q.
1. What is the legislative, social and organizational framework in which the program functions?	X					X	
2. What resources are available from DAE to state and local levels and how they have been perceived?	X					X	
3. What are the state level resources and functions?	X					X	X
4. What have been the resources and organizational characteristics of local sponsors/providers of AE?	X	X	X		X		
5. What are the efforts to recruit and maintain program participants?	X	X	X	X			
6. What are the characteristics of instructional settings?	X	X	X	X			
7. What are program benefits to participants and society?	X	X	X	X	X	X	
8. What aspects of the AE setting are associated with benefits to participants?		X		X	X		
9. What are appropriate methodological guidelines for conducting a study of AE program Impact?		X		X		X	X

- the mail survey to each state director, accompanied by letters urging cooperation for the director of DAE. the OED project officer, and the DA study director; and
- a letter from the executive director of NACAE to each state adult education director endorsing the study and requesting their support.

Shortly thereafter, questionnaires to the local projects were mailed. These also were accompanied by a letter from the director of DAE and the OED project officer indicating federal support and encouraging cooperation, and a letter from the DA study director citing the NACEA endorsement and offering to answer any questions about the study and the questionnaire.

Instructions accompanying the two mail surveys requested that they be returned to DA within two weeks in an enclosed stamped and addressed envelope. During the fourth week after the initial mailing, local projects which had not yet responded were sent a second questionnaire accompanied by a special letter from the DA project director. The following week, follow-up telephone calls were made to each state and local nonrespondent. These calls continued for slightly over a month, with two states and several local projects receiving three and four follow-up calls.

Implementation of site visits was concurrent with the mail survey. Arrangements with the local projects were made by telephone and confirmed by letter.

Each site was visited by one person for two to three days, except that the six LEA super large projects were allocated five persondays each. The visits were conducted between November 13 and December 14, 1979 by 16 qualified professional staff. Prior to data collection, the staff received three days of intensive orientation to the study and training in specific instruments and procedures. They were also provided with a detailed field procedures manual as a guide during training and for subsequent use in the field.

For logistical and quality control purposes, the staff were organized into teams of three, with a designated team leader. Also, field staff were strongly encouraged to contact the central project staff with any methodological questions and reports of difficulties encountered. As a result, during the data collection

period, team members were in telephone contact with each other and with the central study staff three to four days a week.

In addition to the frequent telephone contacts, other quality control procedures were used to increase consistency across sites and staff members.[9] The second week of the field effort was devoted to staff debriefings, quality reviews, and following up with participants and others not contacted during the first week in the field. This scheduling allowed for correcting difficulties and for developing standardized responses to unanticipated issues encountered in the field. Also, in response to special needs in large or complex projects, staff were provided with supplemental assistance from the study director, the sampling design specialists or other field staff. Altogether, central study staff observed over half the data collectors in the field. Almost all other data collectors worked in the field with a colleague on at least one occasion.

Once teachers were selected, participant samples could be drawn. At most projects, class lists were available centrally, but at about one-fourth, it was necessary to contact the selected teachers directly for their rosters in order to sample the participants. Teachers were asked to complete a self-administered questionnaire and were also asked in some cases to provide specific information about some of their former participants. Once this information was obtained, DA's field staff focused on securing telephone numbers or other information needed to contact the selected participants.

Where it was clear participants could not be reached by telephone after the visit, DA's field staff attempted personal interviews while onsite. Selected participants in hospitals, prisons, sheltered workshops, and other institutional settings were almost always successfully interviewed. There was, however, significantly less success contacting noninstitutionalized participants without telephones, particularly in urban areas. Due to time limitations, it generally was possible to attempt telephone interviews with only some of the participants during the time onsite. At each project, DA staff attempted a few telephone interviews in order to test the accuracy of the set of numbers they had been

[9] As another style of quality control, each data collection form was printed in a different color, to remind the interviewer of their use, supplies on hand, and the like.

given; the majority of telephone interviews were conducted from DA offices after the onsite visits were complete.

The post-visit telephone interviews with participants were conducted primarily by the field data collectors who had made the onsite visits. Almost all of this follow-up occurred during the three weeks immediately after the last site visit. Where possible, the individual visiting a project made calls to that project's participants. Where language difficulties were encountered, however, other DA staff were called upon to do the interviewing. Through assignment of bilingual field data collectors and subsequent involvement of other DA staff, interviews were successfully completed with participants in Spanish, French, Portuguese, and Filipino. However, resources did not permit securing the several additional interviewers it would have required to complete interviews in the various Southeast Asian languages encountered.

Prior to leaving each site, the DA field staff also conducted telephone interviews with the selected members of local community organizations or arranged to conduct the interview at a later time. Overall, about two-thirds of these interviews were conducted during the site visits with the rest conducted from DA offices shortly thereafter.

Table 2.7 on the following page, summarizes and provides the schedule of the major field data collection activities.

TABLE 2.7

SUMMARY OF MAJOR DATA COLLECTION ACTIVITIES

ACTIVITIES	DATE
(1) Federal Clearances Received	October 15, 1979
(2) Mail Survey Preliminary Contacts and Protocols	Oct. 15 - Nov. 9, 1979
(3) Arrange 111 site visits	Oct. 22 - Nov. 9, 1979
(4) Mail State Director's Questionnaire	Nov. 1, 1979
(5) DA Presentation to State Directors' Association at National Meeting in Boston	Nov. 5, 1979
(6) Train DA Field Staff	Nov. 7 - 9, 1979
(7) Field Data Collection	Nov. 13 - Dec. 14, 1979
(8) Mail Local Project Questionnaires	Nov. 13, 1979
(9) Second Mailing of Survey Questionnaires	Dec. 12, 1979
(10) Field Staff Debriefing	Dec. 17 - 21, 1979
(11) Mail Survey Telephone Followup	Dec. 19 1979 - Jan. 31, 1980
(12) Participant Telephone Survey and Other Site Visit Followup	Dec. 17, 1979 - Jan. 18, 1980

F. CODING AND EDITING PROCEDURES

All of the data collection instruments were designed so they could function as source documents for keypunching purposes and subsequent computer data processing. Thus, when data collection instruments were deemed complete, they were coded by staff personnel.

Each data collection form was reviewed by two members of the field staff for completeness and legibility, and followup telephone calls or other means were used as appropriate to clarify or complete particular items. Each form then underwent a comprehensive manual edit with internal consistency and logical plausibility checks performed. Using available project information, followup contacts and other techniques, errors were corrected and missing data supplied as appropriate.

Following manual edit and coding procedures, all forms were grouped by type and turned over as soon as ready to a keypunching facility accompanied by detailed keypunching instructions, including special concerns in keypunching them; 100% independent verification of all keypunched information also was requested. In view of the diversity of survey item formats and number of data collection instruments, 100% verification was deemed a necessity.

Computer editing was conducted under the guidance of specific editing instructions which were devised for each type of form. This generally consisted of checks for completeness, accuracy, internal consistency, and out-of-range values. All editing procedures were performed by writing computer programming statements compatible with the software package SPSS (version 8.0).[10/]

More specifically, the raw data were stored on tape and transferred to disk, then processed through a series of frequency distribution, central tendency and cross-tabulation analyses. These editing runs were conducted to determine the variation in responses for each item, its value, extent of omissions, and interrelationships with other survey items. Omissions were of special interest, as were logical inconsistencies and out-of-range values detected by the frequency distribution analyses. To check on these potential flaws, source documents were reviewed and the error then remedied in the stored data via recoding statements. All editing checks were performed on IBM series 360/ model 65 (OS) facilities based at HEW.

10/ Nie, N.H., Hull, C.H., Jenkins, J.G., Steinbrenner, K. and Bent, D.H. The Statistical Package for the Social Sciences. New York, NY: McGraw Hill, 1975, and Nie, N.H. and Hull, C.H. SPSS: Release 8.0 Update Manual, 1978.

After a series of editing and error resolution operations, it appeared that each form's raw data had been completely "cleaned." In general, the responses to most questions were complete and passed various checks of internal consistency; those few that did not were excluded from further analyses.

Following this review, and based on a pre-determined file structure, data then were transferred to another set of disks in the form of SPSS SAVE FILES (which, as binary files, are more efficient to access, and contain fully labelled variables and values or response alternatives). Each file also contained standardized identifying information (such as project and type of respondent codes so that across-respondent analyses and file merges could be performed) and was deemed ready for use with the descriptive and intensive analytic procedures.

G. ANALYTIC PROCEDURES

Overview

The analyses used in this study began with traditional approaches to understanding the descriptive characteristics of the variables. Analysis then proceeded to use correlational and more sophisticated analytic procedures in an attempt to understand the interrelationships among those variables, and the extent to which certain subsets of them were predictors of key program outcomes or other programmatically-related criterion measures. In addition, several of the data sets used in the study were used as the basis for projecting a series of key variables to make national-level estimates of parameters or features of special interest.

1. Univariate Descriptive Analyses

More specifically, after thoroughly inspecting the distribution of the sample data from all data sets during the editing stage of the data reduction process,

and making necessary adjustments to resolve any omissions or inconsistencies, a series of univariate, descriptive analyses were prepared using the SPSS statistical software package (version 8.0). For most data sets these descriptive analyses consisted of composite indices counts, ratios, frequencies, percentages, medians, modes, means, and standard deviations. Medians and modes were of particular interest for this stage of the analysis since a number of variables were considered likely to have non-normal and/or skewed distributions, partially because certain programs were very large while others were quite small. This data pattern turned out to be the case, and as a rule, both means and medians were calculated for all data sets. Modes also were used for the Project Director Mail survey, Teacher Interview, and Participant Interview.

2. National-Level Estimates and the Use of Weighted Data

These descriptive statistics were initially generated for the sample data which had passed through the editing stage of the study. After a thorough inspection, national estimates in the form of weighted totals and percentages were prepared for the Project Director Mail Questionnaire, the Teacher Interview, and the Participant Descriptive Data Form (the SEA Mail Questionnaire, Community Agency Interview, and Participant Interview were not weighted, since the SEA data were a census and the other two data bases were non-representative.) In the case of the Project Director Mail Questionnaire, certain data were generated by multiplying the percentage supplied as one variable to the total number supplied as another variable. For example, the total number of full-time teachers in each project was derived by multiplying the percentage of such teachers by the total staff size. This response approach was deemed easier for the mail survey respondents, and avoided some overlap of information being requested.

The procedure used to generate the point estimates for the mail survey data (which was obtained by a stratified random sampling process) was to project the data by weighting each response by the reciprocal of the sampling fraction for respondents within the particular stratum. Essentially, this was done for the site visit data as well. Projects had been randomly selected from 114 small strata which were subsequently collapsed into eight strata based on the type of project sponsor (LEA, BOCES, etc.). In keeping with the three-stage stratified

cluster design which was used, teacher weights therefore were calculated for the classroom and non-classroom setting strata within each project. The same was done for participants (beginning the process by determining a participant's probability of selection from among all his/her teacher's students). The participant data was then post-stratified as well, since it was noted that the relative percentages of ESL and ASE participants reported based on participant data were substantially different from the corresponding data based on the local project director mail survey. Since the mail survey data were considered to be more accurate in correctly reflecting project operations and characteristics, the estimates provided from the participant data were then post-stratified on the basis of the mail survey responses (the best available and current source) to reconcile those relative frequencies.

In general, no imputation techniques or other adjustments for non-response were used in the weighting process, because of the unusual high response rates which were obtained. Rather, missing values were coded as such and projected along with the other valid responses.

In addition to preparing point estimates of the key variables and related information in the study, a series of variance estimates also was prepared for major parameters which were considered to have the greatest interest to policy makers and program planners. The benefits of having such variance estimates are that they provide an understanding of the precision of is the point estimates (e.g., an overall estimate of total number of students, etc.) generated from sample data. As a direct consequence, the estimates establish how much confidence can be placed in a particular estimate for planning purposes; that is, the likelihood that a given point estimate represents the actual level as it exists in the universe of federally-funded adult education projects to which the present study's findings can be generalized.

To put these variance estimates in context, and since they may be of interest to certain readers and audiences, but not to others, they are presented in the Appendix, together with their corresponding parameter estimates, and a description of the techniques used for their computation.

3. Bivariate Correlational Analyses

Following the weighting process, a series of correlational analyses were conducted to establish how strongly certain variables were related to others. These analyses were generally conducted on variables and factors present in the same data set (i.e., from a particular survey instrument or data recording form). In addition, certain analyses were conducted on merged files. In the latter instance, data from interviewed program participants were merged (via the software package SAS, version 79.3) with Teacher Interview information from teachers of those same participants. Other types of correlational analyses were conducted by visually comparing patterns of teacher responses with those of project director responses. These comparisons were done as two parallel columns within a table shell format.

To perform these correlational analyses, two and three-way cross-tabulations, and chi-square statistics were computed with variables from the Project Director Mail Questionnaire, the Teacher Interview, the SEA Mail Questionnaire, the Community Agency Interview, the participant data and the merged file of teacher-participant data. Some of these analyses were conducted to confirm a response pattern, while other analyses were conducted to determine the statistical significance of the hypothesized interrelationships. Measures of the strength of association also were computed for the sake of interpreting chi-square analyses. These included phi coefficients and Cramer's V indices. Where warranted, bivariate correlation coefficients also were computed (primarily with SEA Mail Questionnaire data). Practical levels of significance were considered as well. That is, the sheer magnitude of the obtained correlation was reviewed to determine if its numeric value represented "enough" of a correlation to make a difference for policy and program-planning purposes, and therefore was worth reporting. Where warranted, factorial analyses of variance (ANOVA) also were computed, to determine if the mean scores on certain variables significantly differed across comparison groups (types of program sponsors, etc.). Here the overall F-ratio for the interaction effects and main effects of the ANOVA results was examined. The direction of the mean group scores also was considered in the interpretation.

4. Multivariate Statistical Analyses

In addition, a selected set of multivariate statistical analyses were conducted to more rigorously examine possible relationships among a group of variables and a criterion measure. Since the variables were likely to be intercorrelated, they were jointly used and entered into an analysis, rather than used on an independent basis. (The latter already had been done via univariate frequency distributions and central tendency statistics of means, medians and modes.) Such multivariate analyses were conducted with the Project Director Mail Questionnaire, the Teacher Interview, participant data, and the merged teacher-participant data records.

Certain of these more insightful analyses were preceded by factor analyses to determine if the set of predictors were overly redundant, i.e., measured the same dimensions to such a degree, that they "overlapped" the analyses. The factor analyses conducted were those which used a principal factors model with a normalized varimax rotation criterion; squared multiple correlations were used as initial estimates of communalities among the predictors. For the most part, these factor analyses did not reveal a need for either reducing the number of predictors being used for altering their metric in some way (e.g., converting to factor scores or to second-order factor indices, etc.). However, a better understanding of the dimensions underlying the predictors was obtained via examining the factor loading patterns and the amounts of explained variance by the factors.

Following these analyses, stepwise multiple linear regressions were computed. The stepwise approach was chosen in order to use more of the available information in determining which variables were the largest contributors to predicting criterion measures (goal attainment, dropout occurrence, etc.). Here the overall amount of relationship (or R^2 value) was examined as well as which predictors contributed most to that relationship, in terms of the beta weights, stage at which certain predictors entered the regression equation, and similar information.

For other selected analyses, stepwise multiple group discriminant function analyses were deemed more appropriate.[11/] The discriminant function analyses were computed for relationships of interest tested through data from the Project Director Mail Questionnaire, the Teacher Interview, and the participant data. Rao's criterion was used as the basis for the stepwise inclusion procedure; i.e., in establishing the largest contribution to separating the pattern of multivariate data for each of the comparison groups. This criterion was deemed suitable for study analytic purposes. The results from these analyses were reviewed from both a prediction and a classification viewpoint. That is, the overall amount of explained variation and which predictors contributed to differentiating the comparison groups were examined. Such indicators as the size of the canonical correlations involved, the magnitude of the weights for each discriminant function, which variables were involved, and the size of the multivariate F-ratios and Rao V indices at each inclusion stage were used for these purposes. Also, the overall accuracy of classification was reviewed. Of special interest was the classification accuracy of each comparison group and the misclassification pattern; i.e., what groups did particular data records "look like," rather than the actual group to which they belonged. This was another way of determining how useful the predictors were for supplying some understanding of how the characteristics of one comparison group appeared to be similar to those of another group.

[11/] Actually, since a two-group discriminant function analysis contains regression weights proportional to those obtained via a multiple regression analysis, the two approaches produced complementary results for the study analytic purposes.

Summary

Taken as a whole, the full set of univariate and bivariate, descriptive and analytic, weighted, and unweighted techniques provided a rich store of information, insights, and understanding of what characterizes the adult education program on the state and local levels and how those factors are associated with each other. From another point of view, the information also provided a useful set of features which certainly warrant consideration in the design, data collection, analysis, and interpretation of future, in-depth studies of adult education program operations, outcomes, and impacts.

H. STUDY LIMITATIONS

Before presenting the study's findings, it is important to point out certain conceptual and methodological factors limiting the study and affecting interpretation of its results. These are mentioned here for the benefit of readers seeking to utilize and fully understand the study's findings.

- The core study data were collected at one point in time - The purpose of the study was descriptive and exploratory, and the study design basically is a cross-sectional survey. Individuals were contacted at one point in time and asked for current and retrospective information on program resources, activities, and results. It was beyond the study's scope and resources to use longitudinal data collection approaches such as time series or even quasi-experimental designs such as pre-post program enrollment approaches which better control for extraneous explanations of program benefits.

- The study occurred during the time of program transition to implementing the 1978 legislation amendments - For some programmatic purposes this was excellent timing and for others it was not. From a positive perspective, it provided an opportunity to assess some of the assumptions of the 1978 legislation, to obtain baseline data for future studies, to observe and document the transition process, and to examine how states were responding to the new planning and other legislative requirements. Conversely, some aspects of the adult education program were in a state of flux at this time. Specifically, this may mean that by now proportionately more local projects are sponsored by community-based organizations and offer child care and transportation

services than were found in this study. (Again, the one-time data collection effort did not permit this potential trend to be verified.)

- The quality of study results varies by data source - In terms of statistical properties the best data are from the mail surveys of state and local directors, the survey of teachers, and the description of participants compiled from program records. Information from the judgment sample of representatives of community agencies and from the interviews with the relatively small number of participants are less technically sound. They are provided, however, because they offer useful, albeit tentative, insight into specific areas of concern. In particular, despite the low response rate, results from analyses of the participant interview data are included because the participants bear some similarity to the general participant population in terms of the variables reported, and because, at a minimum, they provide an initial basis for considering the merits of hypotheses which could be usefully explored in future, more controlled studies. Such studies also could plumb in-depth issues, which due to the survey, correlational nature of the study objectives, and consequently the instruments, had a fairly wide breadth.

- Certain definitions of terms were vague and project operations were highly diverse - The study operated in an atmosphere of unstandardized definitions, lack of common project reporting procedures and wide diversity in project operations. As a direct consequence, it was difficult to gauge the nature of services. Furthermore, throughout the study period the regulations for implementing the 1978 legislation were in the process of preparation, and the definition of the key subgroups within the program's target population was in constant flux. Perhaps most critical, however, were the absence of common, operational, and key definitions of what constitutes: an adult education project, an adult education participant, and participation in ABE, ASE and ESL. Some local directors conceive of their "project" as the totality of educational activities for adults for which they are responsible; others are used to thinking in terms of that portion of those activities receiving federal support. In spite of explicit directions to each respondent to adopt the narrower view, the extent to which there was a common definition of "project," and hence of project participants, by those responding to the mail survey is unknown. (In the site visits it was possible to overcome this problem and impose a common definition across all sites). Equally inconsistent were the distinctions between ABE, ASE and ESL. In many projects there were clear, logical distinctions between them. In others, however, all students were considered to be enrolled in ABE, even some who spoke no English and others who were about to be examined for their GED.

- The nature and extent of project processes and results cannot be readily attributed to the presence of the State-Administered Program funds rather than to funds from other sources - Many projects, especially the larger ones, receive funds from several sources, but in other projects state and federal funds available through the Adult Education Act are the sole source of support. Often different funding sources pay a portion of the same teacher's salary, administrative costs or supportive services, and sometimes administrative and program services are not provided in cash but in kind. In these cases, a clear relationship between project activities and federal funds could not be established. To have tried seriously to do so would have exceeded the scope of this study and in some cases proved a monumental and, perhaps, futile endeavor.

- Some constraints on external validity exist, in terms of fully generalizing the fundings to all adult education programs - Finally, the reader is cautioned that this study is not one of all ABE, ASE or ESL programs in the United States, but rather only of those supported through the federal Adult Education Act, through the State-Administered Program. There are programs supported through other sections of the Adult Education Act, and several large states and local jurisdictions support comparable educational programs not included in this study. So do the U.S. Department of Labor, the Bureau of Indian Affairs, other federal funding sources within and outside the Department of Education, and private organizations as well. The U.S. Army's Continuing Education System (ACES) also has a large number of participants. Thus, in the chapters which follow it will be useful, especially during discussions of the estimated number of participants and the proportion of the target population served, to remember that while this is a large program, it by no means is the only one.

Some of those constraints are particular to this study, but most are generic to social program evaluation; fuzzy definitions, fiscal commingling, and contextual and legislative changes are associated with most social programs. The multiple data sources and unusually high questionnaire response rates converged on consistent findings which were also consistent with the more qualitative and subjective analyses of data collection staff in the field. Overall, then, the material which follows is believed to provide reasonably accurate descriptions and insights into the State-Administered Program at each of its levels.

CHAPTER 3

FEDERAL LEVEL OPERATIONS

The purpose of the Adult Education Act is "to expand educational opportunities for adults and to encourage the establishment of programs of adult education..." To achieve this purpose, Congress established the Adult Education State-Administered Program. The Division of Adult Education (DAE) in the U.S. Department of Education (ED) has the primary role of administering this program of adult education in the states and territories.

In carrying out its responsibilities the DAE develops rules and regulations to implement Congressional intent, guides the development of state plans of adult education, and makes grants to the states for adult education programs which are consistent with those plans. Additionally, DAE monitors states for compliance with federal regulations, provides technical assistance, and reports to the entire Department of Education and the Congress on the progress and status of program operations and expenditures.

The purpose of this chapter is to describe the federal level policies and operations which affect the State-Administered Program. This includes a summary of the legislative history and a description of DAE's official mission, its organization, and staffing. Because of the importance of the federal role, the chapter provides essential background for the description of the state and local level operations which follow. The descriptive information and conclusions it contains are drawn from analyses of a variety of sources, including past legislation, Congressional testimonies, regulations, policies, concept papers, and discussions with program staff.

A. LEGISLATIVE HISTORY

As with any public endeavor, the adult education program cannot be fully understood apart from its legislative origins. Thus, the description of federal

level operations begins with a discussion of legislative development. An overview of the 16 years of adult education legislation is presented in Table 3.1 on the following two pages.

1. Origins in the Anti-Poverty Program

The realization in the early 1960's that a substantial number of poor, unskilled and uneducated adults were largely unaffected by existing social legislation prompted a series of unsuccessful efforts to fill that void. Finally, under the Economic Opportunity Act of 1964, the educational and training needs of adults lacking basic skills in reading and writing the English language were addressed. Title II-B of this Act established the Adult Basic Education (ABE) program to address these needs. It was assumed that, in the long-run, this would raise the education level of the disadvantaged, increase their opportunities to take advantage of occupational training, and make them more economically self-sufficient. The Director of the Office of Economic Opportunity delegated the responsibility and funding of the Adult Education Grants to States Program to the Department of Health, Education, and Welfare. Using HEW's already developed system for disbursing monies through state grants, the program was mandated to assist state education agencies (SEAs) in establishing pilot projects in local school districts (LEAs) and other education agencies. These projects were:

- To demonstrate, test, or develop special materials or methods of instruction;
- To stimulate the development of LEA programs of instruction; and
- To acquire information concerning the materials or methods needed for an effective program for raising adult basic educational skills.

The federal grant application process was the vehicle for disbursing the monies allocated for ABE programs. In addition to submitting grant application forms, complete with budgetary justification, each state was required by law to submit a 12-month plan which provided for:

TABLE 3.1

LEGISLATIVE HISTORY OF THE FEDERALLY-FUNDED ADULT EDUCATION PROGRAM*

	ECONOMIC OPPORTUNITY ACT OF 1964 TITLE II,-PART B, ADULT BASIC EDUCATION PROGRAMS P.L. 88 452 August 20, 1964	ADULT EDUCATION ACT OF 1966 TITLE III of the 1966 AMENDMENTS TO THE ELEMENTARY AND SECONDARY EDUCATION ACT P.L. 89-750 November 3, 1966	1968 AMENDMENTS TO THE ADULT EDUCATION ACT OF 1966 TITLE V OF THE 1968 AMENDMENTS TO THE ELEMENTARY AND SECONDARY EDUCATION ACT AND RELATED AMENDMENTS P.L. 90 247 January 2, 1968	1970 AMENDMENTS TO THE ADULT EDUCATION ACT OF 1966 TITLE III OF THE 1970 AMENDMENTS TO THE ELEMENTARY AND SECONDARY EDUCATION ACT P.L. 91 230 April 13, 1970
PURPOSE	Initiated programs of instruction for persons 18 years old or older whose inability to read or write the English language constitutes a substantial impairment of their ability to obtain or retain employment	Encouraged and expanded basic educational programs for adults to enable them to overcome English language limitations, to improve their basic education in preparation for occupational training and more profitable employment, and to become more productive and responsible citizens	No change in purpose or direction of AHE program	To expand educational opportunity and encourage the establishment of programs of adult public education that will enable all adults to continue their education to at least the level of completion of secondary school and make available the means to secure training that will enable them to become more employable, productive, and responsible citizens. Program participants 16 years or older are included in program.
ADMIN. RESP.	Responsibilities and funding delegated to the Department of Health, Education, and Welfare	Established AHE program officially in the Office of Education, Department of HEW	No change in administration of AHE program	No change in administration of the AHE program
STATE GRANT REQ.	Assisted State Education Agencies (SEA's) in: • establishing pilot projects by local education agencies (LEA's) - to demonstrate, test, or develop special materials or methods of instruction - to stimulate the development of LEA programs for instruction; and - to acquire information concerning the materials or methods needed for an effective program for raising adult basic educational skills • meeting the cost of LEA programs for instruction of adults; and • development or improvement of technical or supervisory services by the SEA.	All requirements and distribution of funds remained virtually the same except the Commissioner of Education was required to reserve: • Not less than 10 percent nor more than 20 percent of appropriated funds for special demonstration projects and teacher training to LEA's and other public or private nonprofit agencies. These special experimental demonstration projects and teacher training grants required a non-federal contribution of at least 10 percent of the costs of such projects	Private Non-profit agencies added as eligible adult education grant recipients	Five percent of the sums appropriated for the program are authorized to pay the cost of administration and development of state plans and other activities required by the legislation
STATE PLAN REQ.	In order to receive federal funds, each state was required to submit a plan which provided for: • the administration of the program by the SEA; • submission of annual reports to OEO; and • cooperative arrangements between the SEA and the state health authority to supply health information and services for participants in the program	State plan requirements represented a redirection of the program from development to establishing and expanding AHE programs by LEA's and state plans were required to also provide for: • progress with respect to all segments of the adult population and all areas of the state; • grants to public and private nonprofit agencies for special projects, teacher training, and research; and • cooperation with community action programs, work experience programs, VISTA, work study, and other programs relating to the anti-poverty effort.	No change in state plan requirements or procedures	In addition to all previous requirements for state plans, these amendments provided that special emphasis be given to adult basic education programs except where such needs can be shown to have been met.
ALLOT-MENTS	Two percent of appropriated funds could be made available to Puerto Rico, Guam, American Samoa, and the Virgin Islands Remainder of appropriated funds distributed to the states on bases of the relative number of persons 18 years old or older in each state who had completed no more than five grades of school or its equivalent No state could receive less than $50,000 and each state's allotment could be proportionately reduced to reach this $50,000 base Federal share was set at 90 percent for FY66 and 50 percent for FY67.	State allotment formula remained the same except that non federal expenditures for each year could be no less than the amount expended during the preceding year Grants for training persons engaged, or preparing to engage in adult education programs could be provided to colleges or universities, state or local educational agencies, or other appropriate public or private non-profit agencies or organizations Stipends and allowances were authorized for persons undergoing training	Retained the allotment formula for distributing funds Provided a base state allotment of $100,000 for each state Federal share for adult education programs in the Trust Territories set at 100 percent The 90 percent federal and 10 percent state funding ratio retained for the other outlying areas and the states Authorizations: FY68 - 60,000,000 FY69 - 70,000,000	Allotment formula revised: Two percent set aside for Puerto Rico, Guam, American Samoa, the Trust Territories, and the Virgin Islands retained A base of $150,000 provided for each state Remaining funds allocated on the proportion of adults not enrolled in school and who do not have a certificate of graduation from secondary school Authorizations: FY70 - $200,000,000 FY71 - $225,000,000
AMENDE	Economic Opportunity Amendments of 1965 P.L. 89 254, October 9, 1965 Expanded the Adult Basic Education Program to include teacher training funded by up to five percent of the appropriations, and extended the 90 percent federal share to FY67.	All subsequent adult basic education legislation were amendments to the: • Elementary and Secondary Education Act of 1965; • Vocational Education Amendments of 1968; • Library Services and Construction Amendments of 1970; • Older Americans Comprehensive Services Amendments of 1973; and • Indochina Refugee Children Assistance Act of 1976.	Vocational Education Amendments of 1968 P.L. 90 576: Title III, October 16, 1968 Reduced the age of eligibility for the program to 16 years of age	The Library Services and Construction Act Amendment of 1970 P.L. 91-600, December 30, 1970 • Delayed implementation of a new allotment formula until FY72 • Authorized utilization of existing allotment procedures • Payments authorized to cover cost of administration and development of state plans
ADV. COM. COUNCIL	None established. 66	The Commissioner of Education designated Chairman of National Advisory Committee on Adult Education. Seven additional members appointed by President • to advise the Commissioner in the preparation of general regulations/policy, elimination of duplication, and coordination with other adult education programs; • to review the administration and effectiveness of all federal adult education programs; and • to make annual reports to the President.	No major changes in duties or responsibilities of National Advisory Council	Established at 15 members, Presidentially appointed National Advisory Council with the Chairman elected by the appointees. Responsibilities: • Advising in the preparation of general regulations • Advising with respect to policies and procedures governing state plans and policies to eliminate duplication • Advising with respect to coordination of programs offering adult education activities and services • Reviewing the administration and effectiveness • Making annual reports to the President

*Exhibit based on reviews of legislation and related materials.

TABLE 3.1

LEGISLATIVE HISTORY OF THE FEDERALLY-FUNDED ADULT EDUCATION PROGRAM (Continued)

	1972 AMENDMENTS TO THE ADULT EDUCATION ACT OF 1966 - TITLE IV, PART C OF THE 1972 AMENDMENTS TO THE ELEMENTARY AND SECONDARY EDUCATION ACT - P.L. 92-318 JUNE 23, 1972	1974 AMENDMENTS TO THE ADULT EDUCATION ACT OF 1966 - TITLE VI, PART A OF THE 1974 AMENDMENTS TO THE ELEMENTARY AND SECONDARY EDUCATION ACT - P.L. 93-380 AUGUST 21, 1974	1976 AMENDMENTS TO THE ADULT EDUCATION ACT OF 1966 ELEMENTARY AND SECONDARY EDUCATION ACT P.L. 94-482 OCTOBER 12, 1976	1978 AMENDMENTS TO THE ADULT EDUCATION ACT OF 1966 ELEMENTARY AND SECONDARY EDUCATION ACT - P.L. 95-561 NOVEMBER 1, 1978
PURPOSE	No change in purpose or direction.	No change in purpose or direction.	No change in purpose or direction.	To expand educational opportunities for adults and to encourage the establishment of programs of adult education that will: • enable all adults to acquire basic skills necessary to function in society Other two objectives remain unchanged.
ADMIN. RESP.	No change in administration of program.	No change in administration of program.	No change in administration of program.	No change in administration of program.
STATE GRANT REQ.	Authorized Grants to State and Local Education Agencies and to Indian tribes, institutions and organizations to support planning, pilot and demonstration projects providing adult education for Indians. • programs to improve employment and educational opportunities for adult Indians • programs of basic literacy and high school equivalency • research and development of innovative techniques for achieving literacy • basic surveys and evaluations of the problems of illiteracy and lack of High School completion • dissemination of information and materials related to educational programs, services and resources available	No changes.	No changes.	Authorized grants to pay the federal share of the cost of: • the establishment or expansion of AEL programs to be carried out by LEAs and by public and private non-profit agencies, organizations, and institutions. Projects for elderly and Indochina refugees extended to October 1, 1983. Grants to carry out the AEL programs may be carried out by public and private non-profit agencies, organizations, and institutions only if the applicable LEA has been consulted with and has had an opportunity to comment on their application which must describe the cooperative arrangements that have been made to deliver services to adult students. Not more than 20% of the funds granted to any state for any fiscal year shall be used for the education of institutionalized adults.
STATE PLAN REQ.	No change in State Plan Procedures.	Added four new requirements to the content of state plans: • no more than 20 percent of state grant money may be used for programs for institutionalized adults • provisions for cooperation with manpower development and training programs, occupational education programs, and reading improvement programs • allotment of not more than 20% of state grant funds for adult secondary programs • provision for bilingual adult education programs.	No change in state plan requirements	States must file a general state application (Re.Section 434 of the General Education Provisions Act) with the Commission. State plans must be submitted not more frequently than one every 5 years and must also provide for: (a) identifying needs, resources; (b) establishing goals to meet needs over period specified; (c) describing the means of delivery of adult education services and their involvement in the development of the plan; (d) describe efforts to assist adult participation; (e) demonstrate that the special educational needs of adult immigrants have been examined and have been provided for; and (f) set forth criteria by which the state will evaluate the quality of proposals.
ALLOT-MENTS	Authorizations of funds to carry out Adult Indian Education Programs was set as follows: FY72 - $ 5,000,000 FY73 - $ 8,000,000 FY74 - $ 8,000,000 No changes in established allotment formula. FY72 - $ 225,000,000 FY73 - $ 225,000,000	Set allotment for Guam, American Samoa, the Trust Territories of the Pacific Islands, and the Virgin Islands at no more than one percent of the appropriated funds. Puerto Rico to be allocated funds on the basis of a state. The allocation formula established in P.L. 91-230 is retained 15% of the state grant to be used for special projects and for training persons engaged, or preparing to engage, as personnel in adult education programs. Special projects for persons of limited English speaking ability were also added. Effective after June 30, 1974, grants to each state shall not be less than 90% of the FY 1973 grants. Authorizations: FY74 $ 150,000,000 - FY75 - $ 150,000,000	Allotment formula specified that the fiscal effort per student or the amount available for expenditure by such state for adult education from non-federal sources for the preceding fiscal year not be less than such fiscal effort per student or such amount available for expenditure for such purposes from such sources during the second preceding fiscal year, but no state shall use its funds to supplant any portion of the federal share. Requires states to expend 10% rather than 15% of the federal allotment for special projects. Authorizations: FY76 - $ 175,000,000 FY77 - $ 200,000,000 FY78 - $ 200,000,000	No change in allotment formula. Authorizations: FY79 - $ 210,000,000 FY80 - $ 230,000,000 FY81 - $ 250,000,000 FY82 - $ 270,000,000 FY83 - $ 290,000,000
AMENDED	Older Americans Comprehensive Services. Amendments of 1973 - P.L. 93-29, Section 804(a): May 3, 1973. Authorized grants to state and local educational agencies or other public or private non-profit agencies for programs for elderly persons whose ability to speak and read English is limited and who live in an area with a culture different than their own. Programs for elderly must be designed to equip them successfully with the practical problems in their everyday life.	No current amendments.	Amended by P.L. 95-112. Amendments to the Adult Education Act of 1974. Extended program to September 30, 1979.	No current amendments.
ADV. COM. COUNCIL	No changes in duties or responsibilities of National Advisory Council.	Establish and maintain state advisory councils. Membership is to include: • persons knowledgeable in the field of adult education • representatives of the state educational agency or of local educational agencies • persons who have received adult education training • representatives of the general public • chairman to be selected by membership Responsibilities include: • advising on development and administration of state plan • advising on long range planning and evaluation • preparing annual report to SEA and National Advisory Council • conducting of meetings annually, including at least one public Provided for persons with special knowledge and experience in education for adults of limited English ability to be members of the National Advisory Council.	Members of the National Advisory Council to continue their term until the President appoints other members to face their positions. No change in maintenance of State Advisory Councils.	No change in maintenance of State Advisory Councils. National Advisory Council extended to October 1, 1984.

- The administration of the program by the SEA;
- Submission of reports to the Commissioner of Education;
- Cooperative arrangements between the state education agency and the state health authority to supply health information and services for participants in the program.

Federal ABE program funds were allotted to each state, the commonwealths, and territories on a formula basis. Two percent of the funds were set aside automatically for American Samoa, Guam, Puerto Rico, and the Virgin Islands. The remainder was to be distributed to the states on the basis of the relative number of persons 18 years old or older in each state who had completed no more than five grades of school or its equivalent. No state could receive less than $50,000.

As part of this initial legislation, the federal share for the adult education program was set at 90% for fiscal year 1966 and 50% for fiscal year 1967. The 1965 amendments of the Economic Opportunity Act of 1964 (P.L. 89-253) expanded the ABE program to include teacher training, funded by up to 5% of the appropriations, and extended the 90% federal share to fiscal year 1967.

2. The 1966 Adult Education Act: Transfer to USOE

The 1966 Title III amendments to the Elementary and Secondary Education Act established the Adult Basic Education program under education legislation and formalized it as an integral program in the U.S. Office of Education (USOE). The purpose and scope of the legislation was also broadened by stipulating that the ABE program was to "...encourage and expand basic educational programs for adults to enable them to overcome English language limitations, to improve their basic education in preparation for occupational training and more profitable employment, and to become more productive and responsible citizens." The 1966 legislation also authorized the SEAs to make grants to both public and private nonprofit agencies for funding special projects, teacher training, and research.

In addition, the federal share was maintained at 90% for FY67 and FY68. The Commissioner of Education was also authorized to use not less than 10% nor more than 20% of appropriated funds for special projects or teacher training grants to be made directly to LEAs or other public and private nonprofit agencies.

The legislation also altered some of the state plan requirements. In essence, these changes reflected a new direction for the ABE program requiring state plans to provide for cooperative arrangements to include community action programs, work experience programs, VISTA, work study, and other anti-poverty programs. This was a natural step in the program's ascent from a developmental program to one which now was being mandated to establish and expand ABE programs.

3. The Modifications of 1967 and 1970: Broadened Eligibility

The 1967 legislative session also brought some important modifications to the program. Recognizing the need for adult education, the 1967 education amendments doubled the minimum allocation for each state from $50,000 to $100,000, and established the federal share of program expenditures at 90% for each state and 100% for the Trust Territory of the Pacific Islands.

The Adult Education Act was amended again, through the Vocational Education Amendments of 1968 (P.L. 90-576). In order to serve out-of-school youth, the age limit for adults eligible to participate in the program was reduced from 18 to 16 years of age. This had the effect of increasing the number of high school age youth in the Adult Education Program.

In 1970, amendments focused once more on the purpose of the legislation and further broadened the program. Responding to requests from participants and program staff, the purpose and scope of the ABE program were revised to permit support of programs enabling eligible adults to continue their education to the level of completion of secondary school. This, it was argued, would better equip participants for employment and other social demands. Thus, the Adult Secondary Education (ASE) program was established at the federal level.

Consistent with this change, the minimum amount provided for each state increased from $100,000 to $150,000 and the allotment formula was revised so that the distribution of federal funds was now based on the number of adults not having a certificate of graduation from a school providing secondary education or its equivalent and not currently required to be enrolled in schools. States were required to give special emphasis to ABE programs in the state plans, except where such needs could be shown to have been met. Also, five percent of the amounts appropriated were authorized to pay the cost of administration and development of state plans and other required activities.

In addition, the 1970 amendments revamped the National Advisory Committee, which had been established under the legislation in 1966. It was renamed the National Advisory Council on Adult Education (NACAE) and its membership was expanded from seven to 15 Presidentially-appointed members. The duties and responsibilities of the Council, however, remained the same.

4. The Amendments of the Mid-1970's: Emphasis on Special Populations

In 1972 and 1973, the program's legislative mandate was expanded further. To improve educational opportunities for adult Indians, the 1972 amendments authorized grants to state and local educational agencies and to Indian tribes, institutions, and organizations to support planning, pilot, and demonstration projects for Native Americans. The following year, emphasis was given to the elderly. As part of the Older Americans Comprehensive Services Amendments of 1973 (P.L. 93-29), grants were authorized for providing adult education programs to elderly persons whose ability to speak and read the English language was limited and who lived in an area with a culture different from their own.

Although the purpose and scope of the program was not directly revised by the legislation passed in 1974, several important elements were intended to improve the program. State plans, for example, were required:

- To provide for cooperation with manpower development and training programs, occupational education programs, reading improvement programs, and others;
- To assure that the program maintained its original emphasis on adults with basic education needs and that no more than 20% of each state's allotment of federal funds be used for high school equivalency programs (ASE);
- To provide assurance of substantial progress in providing adult education services to institutionalized persons but also to assure that no more than 20% of federal funds be used for this purpose in any fiscal year; and
- To provide for special assistance to the needs of persons of limited English-speaking ability by providing bilingual adult education programs.

The 1974 amendments also allowed 15% of a state's grant to be used for special projects and for training teachers. Special projects for persons of limited English-speaking ability were added to this section under these amendments. In conjunction with this emphasis, the amendments also provided for adults of limited English-speaking ability to be members of the NACAE.

Finally, the 1974 amendments added two new program elements: a clearinghouse on adult education and state advisory councils. The clearinghouse's role was to collect and disseminate adult education materials and information. The councils, which were not mandatory, were to advise the SEA on the development and administration of the state plan, on long-range planning and evaluation, and to prepare annual reports to both the SEA and the NACAE.

Legislative amendments made in 1976 were essentially technical, pertaining largely to state allotments and maintenance of effort requirements. For example, the 15% of a state's grant set aside for special projects and teacher training was reduced to 10%. The Commissioner was also required to make maintenance of effort determinations on the basis of the fiscal effort per student or the aggregate amount expended for adult education by a state from all non-federal sources. No matter which formula is used, the expenditure may not be less than during the previous fiscal year.

Under the Indochina Migration and Refugee Assistance Act of 1975, State allocations were made for FY76 to provide educational services to adult Indochina refugees.

During 1976, under the Indochina Refugees Children Assistance Act (P.L. 94-405), Congress added a new section to the Adult Education Act. This gave the Commissioner of Education authority to make grants in FY77 to SEAs and LEAs for the purpose of operating special adult education programs for Indochinese refugees.

The Education Amendments of 1977 (P.L. 95-112) extended the Adult Education Act for one year while legislative hearings were held to assess the intentions and actual interpretation of the existing legislation. Hearings on the 1978 amendments were held in the House of Representatives on July 12, 1977. The legislative process during the subsequent 12 months, consisting of conference committees and Congressional staff meetings, shaped the law as it was amended on November 1, 1978.

5. The 1978 Legislation: Some Important Structural Changes

The legislation of 1978 has been described as a mandate for expansion -- not a call for reform. These amendments expanded the definition of persons eligible for program services and modified state planning requirements. The most significant changes were:

- Prior to 1978, program services were directed toward persons who did not have a certificate of graduation from a school providing secondary education and who had not achieved an equivalent level of education. The new legislation permits serving all persons including those with a secondary education graduation certificate if they lack sufficient mastery of basic educational skills to function effectively in society.
- State plans must be submitted on a three-year basis and must indicate how representatives of organizations and the target population participated in their development and will be involved in carrying out the plan.
- The educational needs of adults in all segments of the adult population must be identified and assessed, including residents of rural areas, residents of urban areas with high rates of unemployment, and designated special populations (adults with limited English language skills and institutionalized adults).

- SEAs must expand their delivery systems to include involvement of agencies, organizations and institutions other than public school systems.

- Outreach systems must be expanded in order to inform the adult populations who are least educated.

- Adult Education program proposals and plans must describe the efforts to provide for:

  - day care of children of program participants;
  - flexible scheduling and convenient locations for instruction; and
  - transportation to and from the instructional settings.

The 1978 Amendments continued four restrictions on the use of state grants which had been incorporated into the Adult Education Act either in 1974 or in 1976. They are that: (1) not more than 20% of funds are to be used for the education of institutionalized individuals; (2) not more than 20% funding is to be applied to ASE programs which provide for programs of equivalency for a certificate of graduation from a secondary school; (3) not less than 10% of funds are to be used in special experimental demonstration and teacher training projects; and (4) activities may not be related to sectarian instruction or religious worship or provided by a school or department of divinity.

Throughout the 1978 legislation, the involvement of representatives of organizations and special populations in planning is emphasized. Participatory planning is based on the assumption that the significant involvement of beneficiaries, resource providers, and program personnel in the planning and carrying out of the program will increase the program's ability to reach and effectively serve the special populations.

With respect to revising the purpose of the Act to include an emphasis on functional literacy, Secretary of HEW Califano's statement before the Senate Human Resources Committee on March 8, 1978, summarized the purpose of the federal legislation and the overall federal mission:

> The expanded purpose would indicate Federal government recognition of a major problem -- that many adults cannot read or write sufficiently well to function in modern society. At the same time, efforts to assist those adults who desire to attain educational credentials such as the high

school diploma will continue. To some extent, tne two aims are complementary, as functional illiteracy and the lack of a high school diploma are highly related.[1]

B. THE DIVISION OF ADULT EDUCATION AND ITS OPERATIONS

A federal program's organizational setting, its financing and its staff are as important as its authorizing legislation. The adult education program operates within the Office of Vocational and Adult Education within the Department of Education. This location has had innumerable effects on program policy and regulation. Over the years, DAE has been significantly influenced by agency-wide decisions effectively beyond its control. For example within the past two years, while beginning to implement the 1978 legislation, DAE has had to expend substantial time responding to organizational policies affecting the deployment of its staff, the timeliness of its regulations, and the information it may gatner from the states. Comparable external forces would effect the program wherever its bureaucratic home, but the particulars would vary and thus tneir effect. While assessing the effects of such forces and tne effectiveness of the DAE are well beyond the scope of this study, an understanding of state and local level operations requires a brief description of the Division of Adult Education. Perhaps most critical to the operation of the program in the field are DAE's understanding of its mission, its financial resources, and its personnel.

1. DAE Mission

The major thrust of the adult education regulations is to expand educational opportunities for those adults who are least educated and most in need of assistance. According to the Mission Statement for Adult Education,

[1] Hearings before the Subcommittee on Education, Arts, and Humanities of the Committee on Human Resources, United States Senate, 95th Congress, 2nd Session on S.1753, Part 3, March 8, 1978, p.155.

The mission of the Division of Adult Education is to administer the Adult Education Act, Public Law 91-230 and all of its amendments; to promulgate and interpret policy for implementing the Act; to promote the optimum utilization of fiscal, material, and human resources to achieve the purposes of adult education; and to exercise national and international leadership in fostering excellence in the education and learning of all adults.[2/]

In carrying out its mission, the DAE established a partnership with the states, commonwealths, and territories. The maintenance and improvement of this federal-state partnership, created in the 1960's, is an important goal of the DAE, and the Department of Education.

Consistent with its legislative intent, the primary purposes of the federal adult education program are:

- To generate state and local commitment and capacity to serve the educational needs of those adults who are least educated, and most in need of assistance;
- To assist state and local education agencies and public or private nonprofit agencies, organizations, and institutions in providing ABE, ASE, and ESL programs to educationally disadvantaged persons 16 years of age and older;
- To provide educational opportunities that will:
  - -Enable all adults to acquire basic skills necessary to function in society;
  - -Enable adults who so desire to continue their education to at least the level of completion of secondary school; and
  - -Make available to adults the means to secure training that will enable them to become more employable, productive, and responsible citizens.[3/]

[2/] The Mission Statement of the Division of Adult Education, Bureau of Occupational and Adult Education, United States Office of Education. (Undated, but applicable for FY 80.).

[3/] Ibid, p.1.

2. Financial Resources

Almost $900 million in federal funds have been expended for ABE, ASE, and ESL programs since 1965. In that first year, $18.6 million were allotted to the states for adult education activities and by 1970, five years later, the allotment had increased to $40 million. During the 1970's, the allotment for the State-Administered Program increased further -- to $100 million by 1980. A summary of the total allotments to the states is presented as Table 3.2, below.

TABLE 3.2

TOTAL ADULT EDUCATION STATE ALLOTMENTS
FOR FISCAL YEARS 1965 - 1980
($ in 000's)

YEAR	AMOUNT	YEAR	AMOUNT
1965	$18,612	1973	$74,834
1966	19,679	1974	53,286
1967	26,280	1975	67,500
1968	30,590	1976	67,500
1969	36,000	1977	71,500
1970	40,000	1978	80,500
1971	44,875	1979	90,750
1972	51,134	1980	100,000

In addition to the State-Administered Program, Congress has appropriated varying amounts to DAE to undertake special programs and functions. The Adult Indochina Refugees Program (AE Act, Sec. 317) and the Adult Immigrants Program (AE Act, Sec. 318) are funded for $2.5 million each in Fiscal Year 1980. The special program for Indochina refugees was funded for $10.25 million in Fiscal Year 1977.* However, no funds have been requested for Fiscal Year 1981, since

*In Fiscal Year 1976, $5 million were allocated to the states to assist them in serving the educational needs of adult Indochina refugees.

the State-Administered Program in the 1978 amendments provides for adult education and adult basic education opportunities for immigrants and for Indochina refugees.

Over the years, perhaps the most significant of such additional resources went to support special projects and teacher training funded through what was then Section 309 of the Adult Education Act. From 1966 through 1974, over $70 million were expended under this section for special teacher training, model-building, and demonstration projects, National State Director Institutes, and three-year Regional Adult Education Staff Development Projects.

Overall, federal financial resources for states have substantially grown and expanded over the past 16 years, although when adjusted for inflation the recent increases in funds are not nearly as great as they at first appear.

3. Organization and Staffing

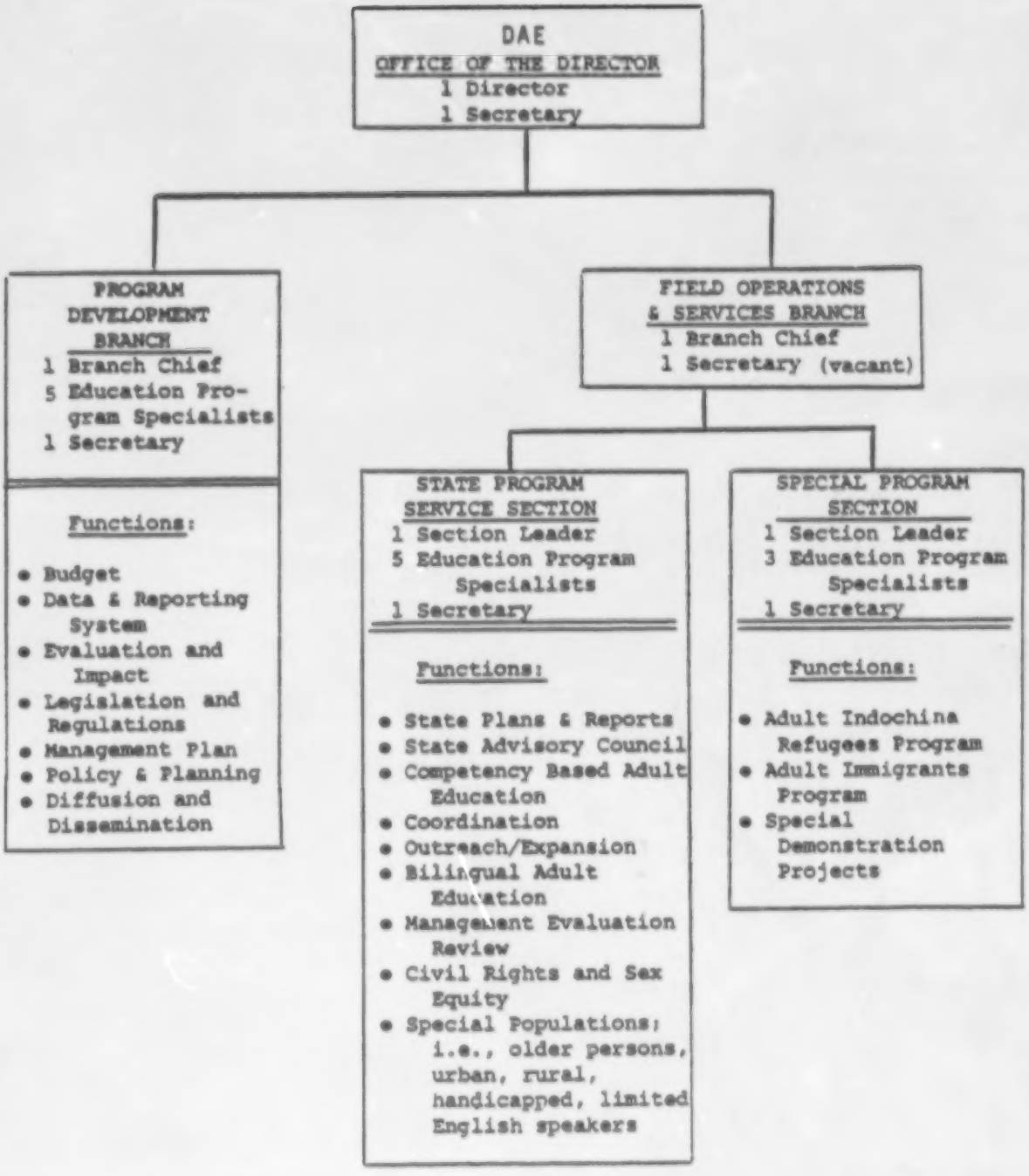
Through April 1980 the DAE was structurally located within the Bureau of Occupational and Adult Education, one of six major bureaus of the U.S. Office of Education; it is currently a division within the Office of Vocational and Adult Education of the new Department of Education. Administratively, the Division has an Office of the Director and two branches, each with a Branch Chief. In the Spring of 1980, the DAE staff consisted of 17 professionals and four secretaries, a reduction from a prior high of 33 total staff (23 in Washington and 10 in the federal regional offices).

The Program Development Branch has five Education Program Specialists while the Field Operations and Services Branch is subdivided into two sections, each with a Section Leader. A third section (Evaluation and Dissemination) is planned but not staffed. Figure 3.1 provides an overview of the current (Spring 1980) structural and functional activities and the relationships of the branches and sections of the DAE.

The Field Operations and Services Branch utilizes its ten professional staff (two Section Leaders and eight Education Program Specialists) to provide program

FIGURE 3.1

FUNCTIONAL STRUCTURE OF DAE



coordination, technical assistance and monitoring to the states in both general and specific areas. Each Education Program Specialist is assigned to a specific program function. Within the State Program Service Section, one specialist coordinates activities in the area of adult competency-based education while another works in the areas of civil rights and sex equity, human rights and transportation. Other staff are assigned to the following areas: management evaluation review for compliance; outreach and expansion; special populations (i.e., urban, rural and handicapped adults); and evaluation, state advisory councils and reports.

The Special Programs Section's primary function is to supervise two special, nationally funded adult education programs: Adult Indochina Refugees Program, Adult Immigrants Program, as well as the special experimental demonstration and teacher training projects administered by the states. Each of the staff members in the Field Operations and Services Branch is available to all states. This form of organization is based on the assumption that a group of specialists, each with a national perspective, can more effectively support states than generalists assigned geographically.

The Program Development Branch coordinates and supports the overall planning, evaluation and policy development process for the Division of Adult Education. The Branch Chief and five Education Program Specialists are directly responsible for the development and coordination of all long-range planning activities, budgeting data and reporting systems, evaluation processes, legislative liaison within and without the Department of Education, and related diffusion and dissemination activities.

Prior to the summer of 1978, the DAE staffing plan included a regional program officer located in each of the ten HEW regional offices throughout the U.S. During 1978, HEW centralized the USOE regional offices and the ten regional program offices positions were moved to DAE's central office in Washington, D.C. This reorganization, on the one hand, posed some management and organization problems within the DAE in Washington with the influx of new staff. On the other hand, it increased the staff level. However, several of the regional staff did not transfer to Washington and several other central office

staff retired; therefore, by the end of 1979, only four of the original ten regional program officers were located in the Division's office in Washington. DAE's staff size has dropped to its current level.

Following this period of staff reorganization and the enactment of the 1978 amendments to the Adult Education Act, the DAE began the major task of implementing the significant changes in the legislation. The remainder of this chapter will briefly describe the five areas of federal-state interaction.

4. Major Functions and Activities

From the federal level, the DAE funds SEAs to operate adult education programs, develops regulations, and provides technical assistance aimed at helping the states comply with federal requirements and conduct quality programs. DAE affects state and local programs through five primary forms of federal-state interaction: (a) regulations development; (b) review of state plans; (c) program monitoring and evaluation; (d) technical assistance; and (e) reporting.

a. Adult Education Regulations

The development and dissemination of federal regulations is an integral part of the work of any federal grant program. Correspondingly, the changes in the Adult Education Act in 1978 required considerable revision of the program's regulations. During late February 1979, the DAE developed and distributed a set of draft regulations to the states and other interested publics for their review and reactions. Following that review, a set of proposed rules and regulations was published in the Federal Register on June 28, 1979. Final regulations were approved and published on April 3, 1980.

The regulations include background information on the program designed to provide an overview of the legislation. The regulations include grant application procedures, guidelines for implementing various features of the legislation such as state plan development, and a variety of other technical information, criteria and instructions.

Although the process of developing regulations was drawn out over many months -- lasting well over a year -- the process did enhance federal-state interactions. Their preparation involved several meetings with state adult education directors, public hearings in each of the federal regions, written public comments, and the expression of various other points of view. Moreover, the regulations established a framework for continuing dialogue and interaction between the federal program and the states and for funding the states, commonwealths and territories.

b. State Plan Reviews

The state plan is the primary mechanism prescribed by the Adult Education Act and described by the federal rules and regulations for establishing the adult education program in each state. The 1978 amendments to the Act required the development of three-year state plans, the first set of which was approved by DAE during the summer of 1979.

During the period between passage of the Act and submission of the three year plans, two DAE Education Program Specialists provided direct technical assistance in state plan preparation to the states, commonwealths and territories. In addition, several regional meetings and one national conference were held to further facilitate the process of developing and reviewing state plans.

Once received by DAE, the plans were reviewed for compliance with the new legislation and, where problems were encountered, they were referred back to the states for further attention. Both the preparation and DAE review were hindered because official regulations pertaining to the new legislation were not available. As a result, all plans were approved subject to the need for modifications which might be required under the pending rules and regulations. The regulations were published in final form on April 3, 1980 -- nineteen months after passage of the Act and approximately a year after substantive work on the state plans was completed.

The regulations require that an acceptable state plan must include, for example: state policies, procedures and activities for implementing the plan; a description of the needs of adults in the state; the program's goals for the three-year plan; a description of the proposed activities for and the estimated costs of attaining each goal; a description of the outreach activities; and a discussion of the procedures for evaluating the plan. As of this writing, several DAE staff are assigned to review the existing plans in light of the new regulations, with the objective of bringing all plans into compliance by July 1980.

The next round of three-year state plans will be submitted to DAE for approval by July 1982, with preparation having to be substantially complete in most states by late February or March. Present plans for DAE staff call for working with the states on implementing the current state plans throughout 1980 and 1981 and for beginning to provide the states focused assistance on new plan development beginning in late 1981 and 1982.

c. Program Monitoring and Evaluation

The DAE monitors federally-funded state programs of adult education in several ways. These include one-to-one telephone contacts, contacts at regional and national meetings, and the Management Evaluation Review for Compliance (MERC), a joint process with the USOE's Vocational Education Program.

In conducting the MERCs, DAE follows an established annual calendar for 11 site visits each year set by the Vocational Education Office. Each state is scheduled for a review every five years, and there is a follow-up process for bringing state programs into compliance. The MERC addresses the following program areas: ABE, state advisory councils, program management, annual evaluation, fiscal operations, bilingual programs, interagency coordination, innovation and demonstration activities, teacher training programs, and reporting procedures.

In addition to the use of MERC by DAE, a Management Review for Program Improvement (MRPI) is under development to complement the review for compliance.

The monitoring procedures, including the MERC and MRPI, are closely connected with the important technical assistance role of the DAE.

d. Technical Assistance to the States

In addition to financial assistance through the state grants and monitoring and evaluation procedures, DAE provides a variety of technical assistance to the states. During the transition period created by the changes in the Act by the 1978 legislation, technical assistance was provided in these areas: implementing participatory planning and developing three-year state plans; conducting needs assessments; developing guidelines for reviewing adult education projects for dissemination; effective evaluation for adult education projects; developing and implementing an adult education data system; expanding supportive services; developing and documenting interagency cooperation and collaboration; and, expanding local grantees to include private nonprofit agencies.

There is a constant need, as expressed by DAE staff and state directors of adult education, for clarification of problems and resources. This is especially important since, by necessity, DAE provides much of its technical assistance by telephone, through the mails or at a limited number of regional or national meetings. The federal DAE budget severely limits site visits and direct face-to-face contacts.

As revealed in one part of the SEA mail survey and examined in detail in Chapter 4, most states (42) reported receiving some form of non-financial assistance from USOE in the past year. Of some concern, however, is that nine states said they did not receive any non-financial assistance, nor did they consider applicable to them a more detailed question about the usefulness of four specific forms of assistance they might have received. Given the context of intentional interaction described above, this suggests that their contacts with DAE were quite limited and found not to be especially worthwhile. On the other hand, as shown on Table 3.3, 25% of the states indicated the training and technical assistance they received was highly useful, with another 35% giving DAE's technical assistance clearly positive marks.

TABLE 3.3

USEFULNESS OF VARIOUS TYPES OF FEDERAL ASSISTANCE TO THE STATES AS REPORTED BY STATE DIRECTORS OF ADULT EDUCATION

Form of Assistance	No. and (%) of SEAs					Mean*
	None Received	Not Useful At All	Slightly Useful	Moderately Useful	Highly Useful	
Monitoring of compliance with AE legislation	19 (37)	--	5 (10)	15 (29)	12 (24)	3.22
Training and Technical Assistance	12 (24)	1 (2)	7 (14)	18 (35)	13 (25)	3.10
Disseminated Programmatic & resource materials	14 (14)	2 (4)	16 (31)	13 (25)	6 (12)	2.62
Statistical Information; e.g., Annual Performance Report	19 (37)	2 (4)	12 (24)	13 (25)	5 (10)	2.34

*Mean is defined as the mean score on the four-point scale (1-4) where 1 = not useful at all and 4 = highly useful.

In addition to obtaining the state directors' assessments of assistance received during the past year, the directors were asked to compare the usefulness of this assistance with that received prior to the closing of the 10 regional offices. In response, nine state directors indicated the level of usefulness to be about the same. Nearly three-fourths (38), however, reported the assistance to be less useful now, with only two directors reporting it as more useful since the centralization of DAE operations. Consistent with this response, 22 state directors (43%) in an open-ended question asking for suggestions for changes or improvements in DAE recommended the reinstatement of the 10 Regional Program Officers. Although not discernable from their questionnaire responses, discussions with many of the state directors suggest that what is really desired is a single focal point for contact within DAE, and this could be accomplished without a return to the regional office network.

e. Reporting

Each year, the Division of Adult Education (DAE) receives a variety of information about its funded programs. This includes program performance and financial reports from each state as well as copies of reports of special projects and the evaluations of projects funded through state grants. In addition, each state plan contains descriptive information about adult education activities. The MERC procedure also results in a report addressing the state program's compliance with each of the federal regulations.

In addition to what is available from DAE, program information from the states is available from the Department of Education's Office of Program Evaluation as part of the annual reports required by Section 437 of the General Education Provision Act. Considerable descriptive information, collected on a one-time basis, is available from the National Advisory Council on Adult Education and from the Adult Education Clearinghouse (ADELL) which was funded through the Adult Education Act during fiscal years 1978 and 1979.

With respect to the Annual Performance Reports, beginning with data from the 1966-67 program year, the National Center for Education Statistics (NCES) has worked with DAE to prepare an annual summary of the state data. The most

recently available NCES report summarizes information for the 1976-77 program year (still in draft form) and presents a summary of the five fiscal years 1973-1977.

As a form of assistance to the states, the Annual Performance Reports and other statistical information from DAE are considered as moderately to highly useful by only 18 states (see Table 3.3). The NCES reports appear to be of little use since they are usually published at least three years after the data year and because of fairly frequent changes in the report form itself. Since 1973, there have been four versions of the Adult Education Annual Performance Report, the most recent being OE Form 365-1, dated July 1979. A major revision to this form, reflecting the requirements of the 1978 legislation, is being developed for use in the 1980-81 program year.

C. SUMMARY AND CONCLUSIONS

The past 16 years have witnessed substantial growth in the federally supported Adult Education Program. Not only has funding for the program increased but so has its scope and focus. Once it focused largely on adults 18 years of age or older who have no more than five years of schooling. Now, in contrast, it includes adults over 16 who are not currently enrolled in school and lack the mastery of basic skills needed to function effectively in society, regardless of whether they possess a high school diploma or its equivalent. At the same time, the program has expanded its special populations and shown a commitment to reach all segments of the adult population.

Federal level adult education activities, once regionalized, are now centralized in the Washington, D.C. office of the Division of Adult Education, within the Department of Education. Two branches operate under the Division's Director, one dealing with program development and the other with field operations and services. Together, they interact with states through the development of regulations, the review of state Adult Education plans, the provision of technical assistance, and processes for program monitoring, evaluation, and reporting.

DAE staff are assigned responsibilities functionally rather than geographically in the belief that the functional division is advantageous because it allows the staff to approach their tasks with a sense of programs nationally. State adult education personnel, however, look upon the current centralized, functional assignments with disfavor. They believe centralization has reduced the usefulness of the assistance they receive from the Division and favor returning to a geographical division of Adult Education responsibilities at the federal level.

CHAPTER 4

STATE LEVEL OPERATIONS

In implementing the federal-state partnership, the states serve as the bridge between federal policy and funding and the local projects and their participants. Thus, information about their resources, functions, and constraints is essential to understanding the local level operations of the adult education program.

The primary roles of the states in administering the Adult Education Act are to plan the expenditure of federal funds within their jurisdiction and then to manage the expenditure of those funds in accordance with those plans. In fulfilling these roles, the states utilize fiscal and technical resources received from their state governments and other sources as well as from the U.S. Department of Education. Correspondingly, each state's adult education program is influenced and legally bound by its state's constitution, statutes, and policies.

Each of the states and the District of Columbia is funded by the Department of Education to operate a statewide adult education program. In turn, the SEAs fund local adult education projects based on proposals and plans which are submitted by local education agencies and other public and private non-profit organizations and are consistent with the goals and objectives of their respective three-year state plans. The majority of federal funds are expended on various types of instructional activities, with states required to emphasize adult basic education (ABE) programs. Since 1970, the Adult Education Act has permitted some expenditures for adult secondary education (ASE) programs as well. English as a second language (ESL) and bilingual education programs are also supported through the Act, although these are often considered to be a part of the broader ABE or ASE activities. The SEA programs vary considerably in terms of program operations, size, scope, implementation processes, and the extent to which ABE, ASE, and ESL activities are incorporated in the programs.

The information discussed in this chapter was gathered from adult education directors of the state education agencies in all 50 states and the District of Columbia and from a variety of other sources as well. A mail survey sent to the state director of adult education in each of the 51 SEAs (100% responded) is the primary source. This is supplemented by data collected during site visits to SEAs in 22 of the states, data from a substudy of the state plan development process in seven states, and selected items from the mail survey of local project directors.

A. TARGET POPULATION OF ADULT EDUCATION PROGRAMS

1. Target Population Definitions

The Adult Education Program target population as defined by current legislation covers all individuals over the age of 16 who lack sufficient educational skills to function effectively in society and who are not currently required to be in school (Sect. 303 of P.L. 91-230, as amended). Figures on the scope of the target population vary according to the criterion used and a great deal of attention has been focused in recent years on determining the nature and extent of the adult education target population.

In 1977, the general designation included 52 million adults, 15 million below the eighth grade level and another 37 million without high school diplomas.[1/] This figure was based on criteria outlined in previous legislation which included only those who had not completed high school. The 1978 changes in the law have presumably increased the percentage of the population falling into the target category.

1/ Education Division, DHEW. "Renewal Evaluation Report: Adult Education Act," 1977, mimeo. p.23.

However, the problem of definition and assessment of the extent of the target population in adult education has led the National Advisory Council on Adult Education (NACAE) to introduce the concept of "demand population," which they define as "those adults 16 years of age and older experiencing personal and social disadvantage due to inadequate basic education who actually want, demand and are capable of using adult education."[2/] According to the NACAE, the assessment of the demand population should be considered as possibly more manageable and as a more equitable basis for funding allocations.[3/]

Two contradictory trends seem to be developing in relation to defining the target population. First, the legislation reflects an expansion of the original intent of upgrading the education of those Americans who had not completed elementary school or high school. With the 1978 legislation, adult education is open to anyone who wishes to secure training that will enable him or her to "function more effectively in society," without restricting the opportunity to those who have not completed high school. Second, the notion of the demand population would seem to narrow the field to those who want and demand educational services, possibly to the detriment of the "hard core" of the educationally disadvantaged. The implications of this possibility, if it is indeed a trend, are profound.

In order to determine how state directors of adult education defined the target population in their states, the directors were presented the following three definitions and then asked which most closely matches the operational definition they use when allocating federal adult education funds to local projects in their states.

- The federal Grants to States funding formula for the Adult Education Act. This is based on a program "target population" which is operationally defined as those adults identified by the U.S. Census as 16 years or age or older with less than a high school diploma who are not currently required to be enrolled in school.

2/National Advisory Council on Adult Education. An Assessment of the Federal Adult Education Act Program. Washington, D.C., Government Printing Office, 1978.

3/Ibid., p.8.

- The 1978 federal legislation which defines "adult education" as services for persons who have attained the age of 16 and who "(1) lack sufficient mastery of basic education skills to function effectively in society or who do not have a certificate of graduation from a school providing secondary education, and (2) are not currently required to be enrolled in schools."

- The National Advisory Council on Adult Education's concept of "demand population." This is defined as: "those adults 16 years of age and older experiencing personal and social disadvantage due to inadequate basic education who actually want, demand, and are capable of using adult education."

As indicated in Table 4.1, three-fourths of the states reported using definitions which are closest to that of the 1978 legislation. This is not surprising since the federal level has placed considerable emphasis on compliance with the letter and spirit of the Act. What is more significant is that fully one-quarter of the grantees did not use that definition, thus suggesting that there is no common frame of reference among state directors and federal program personnel.

TABLE 4.1

DEFINITIONS OF ADULT EDUCATION TARGET POPULATION USED BY STATE DIRECTORS IN FUNDING LOCAL PROGRAMS: NUMBER AND PERCENT

Definitions	SEAs	
	Number	Percent
Federal Grants to State Funding Formula	7	13.7
1978 Federal Legislation	38	74.5
National Advisory Council on AE "Demand Population"	6	11.8

2. Size of Target Population

Using their operational definitions, each state director provided the best available estimate of the size of the state's target population. This yielded a national target population estimate of 49.3 million adults in the 50 states and the District of Columbia. Directors' estimates are summarized in Table 4.2 and

reported individually in Table 4.3. These reports show that two-thirds of the states (34) have less than one million adults per state in the target population, while 11 states account for almost 25 million of the total target population. Thirty-eight (75%) of the state directors reported that they based their estimates on the most recent census data; nine reported using other sources (e.g., Department of Labor statistics, and statewide studies); and, four did not report their sources.

TABLE 4.2

DISTRIBUTION OF ADULTS IN THE U.S. WHO SHOULD BE SERVED BY ADULT EDUCATION
N = 49,328,623

Distribution	States	
	Number	Percent
No. States with Less than 100,000	5	10
No. States with 100,000 to 500,000	13	25
No. States with 500,001 to 1 Million	16	31
No. States with from 1 Million to 2 Million	11	22
No. States with More than 2 Million	6	12
Range: 7,000 to 4,500,000		

Based on estimates provided by state directors of adult education using their definitions of the program's target population.

It is noteworthy that the estimates reported by the state directors differ from the estimate of the target population used by the National Center for Education Statistics (NCES) when calculating state grant allocations.[4/] In their analysis of the 1970 census data, the NCES reports a total of 66.5 million persons eligible for services through the Adult Education Act. However, almost

4/ NCES Analyses of the U.S. Department of Commerce. Bureau of Commerce, Bureau of the Census, pre-publication data from U.S. Census of Population: 1970, Detailed Characteristics, PC (1) D Series.

TABLE 4.3

TARGET POPULATION BY STATES FOR FISCAL YEARS 1979 AND 1980

STATE	ESTIMATED TARGET POPULATION*	POPULATION SERVED FY 79		POPULATION SERVED FY 80		CHANGE	
		Number	%	Number	%	Number	%
TOTALS	49,328,623	1,931,710	3.92	2,166,552	4.39	215,042	11.0
1. Alabama	1,325,000	47,170	3.56	51,940	3.92	4,770	10.1
2. Alaska	7,000	5,460	.78	5,460	.78	0	0
3. Arizona	641,026	8,974	1.4	9,765	1.5	791	7.1
4. Arkansas	700,712	14,014	2	17,518	2.5	3,504	25.0
5. California	4,500,000	360,000	8	450,000	10	90,000	25.0
6. Colorado	600,000	6,000	1	12,000	2	6,000	100.0
7. Connecticut	800,000	16,000	2	16,000	2	0	0
8. Delaware	8,000	2,000	25	3,040	37.5	1,040	50.0
9. District of Columbia	263,000	13,150	5	13,150	5	0	0
10. Florida	3,200,000	400,000	12.5	432,000	13.5	32,000	8.0
11. Georgia	1,599,399	31,988	2	31,988	2	0	0
12. Hawaii	200,000	66,000	3.3	85,800	33	0	0
13. Idaho	200,000	14,000	7	16,000	8	2,000	14.3
14. Illinois	3,400,000	74,800	2.2	78,200	2.3	3,400	4.54
15. Indiana	1,433,705	15,771	1.1	17,204	1.2	1,433	9.1
16. Iowa	807,300	40,365	5	48,430	6	8,073	20.0
17. Kansas	536,610	16,098	3	16,098	3	0	0
18. Kentucky	1,500,000	27,000	1.8	30,000	2	3,000	11.1
19. Louisiana	1,292,612	13,702	1.06	13,702	1.06	0	0
20. Maine	275,000	5,500	2	5,500	2	0	0
21. Maryland	900,000	40,500	4.5	40,500	4.5	0	0
22. Massachusetts	1,400,000	16,800	1.2	21,000	1.5	4,200	25.0
23. Michigan	779,000	7,790	1	8,569	1.1	779	10.0
24. Minnesota	650,000	9,750	1.5	9,750	1.5	0	0
25. Mississippi	900,000	13,500	1.5	14,400	1.6	900	6.7
26. Missouri	1,500,000	30,000	2	30,000	2	0	0
27. Montana	85,000	2,550	3	2,550	3	0	0
28. Nebraska	400,000	5,200	1.3	4,800	1.2	-400	-7.7
29. Nevada	48,000	2,112	4.4	2,400	5	288	13.6
30. New Hampshire	150,000	3,750	2.5	4,500	3	750	20.0
31. New Jersey	600,000	24,600	4.1	27,000	4.5	2,400	9.8
32. New Mexico	289,000	11,560	4	13,005	4.5	1,445	12.5
33. New York	2,000,000	70,000	3.5	70,000	3.5	0	0
34. North Carolina	1,000,000	30,000	3	50,000	5	20,000	66.7
35. North Dakota	160,000	2,720	1.7	3,040	1.9	320	11.8
36. Ohio	2,657,857	39,868	1.5	39,868	1.5	0	0
37. Oklahoma	757,405	45,444	6	60,592	8	15,148	33.3
38. Oregon	600,000	54,000	9	66,000	11	12,000	22.2
39. Pennsylvania	3,561,337	39,175	1.1	35,613	1	-3,562	-9.1
40. Rhode Island	300,000	9,000	3	10,500	3.5	1,500	16.7
41. South Carolina	900,000	36,000	4	36,000	4	0	0
42. South Dakota	173,000	3,512	2.03	3,512	2.03	0	0
43. Tennessee	660,000	23,760	3.6	23,760	3.6	0	0
44. Texas	1,700,000	153,000	9	153,000	9	0	0
45. Utah	193,000	3,860	2	3,860	2	0	0
46. Vermont	110,000	4,400	4	4,400	4	0	0
47. Virginia	1,600,000	32,000	2	32,000	2	0	0
48. Washington	300,000	14,100	4.7	15,000	5	900	6.4
49. West Virginia	621,000	12,420	2	14,283	2.3	1,863	15.0
50. Wisconsin	1,034,660	10,347	1	10,347	1	0	0
51. Wyoming	10,000	2,000	20	2,500	25	500	25.0

*Using their own definition as of March, 1980.

all of the 15 million difference between the estimates of the state directors and that of NCES can be explained by extreme differences in the figures of certain states (e.g., California, North Carolina, New York, and Texas),[5/] and probably associated with the differences in definitions used. Most other recent national estimates of the target population vary within these bounds.[6/] While the precision of all the available target population estimates may be questioned, they are generally consistent within the range of 45 to 70 million adults.

3. Number Served

Data presented in Table 4.3 show that, according to the state directors' reports, between July 1978 and June 30, 1979, adult education programs served 1,931,710 adults or about 3.92% of the target population estimated by the state directors.[7/] This represents a 17% increase over the 1,651,094 reported as having been served in FY 1976.[8/] Furthermore, the directors projected an increased enrollment nationally of 11% in fiscal year 1980. This means a total of 2,166,552 participants would be enrolled, with adult education classes serving over 2 million adults for the first time.

5/ Large state-by-state differences between NCES' analysis of the 1970 Census data and the state directors' estimates are found in nine populous states (California, Michigan, New York, New Jersey, North Carolina, Ohio, Pennsylvania, Tennessee and Texas), the directors used the NACAE's "demand population" definition for estimating the target population. The reason for the difference in the other states is not clear, but may be accounted for by less obvious differences in definitions and actual changes in population over time.

6/ Hunter, and Harman. Illiteracy in America, N.Y.: McGraw Hill Book Company, 1979; and various reports of the National Advisory Council on Adult Education.

7/ Using the NCES target population estimate of 66.5 million, 2.90% were served.

8/ NCES. Adult Basic and Secondary Programs Statistics: 1976 (Students and Staff Data, July 1, 1975-June 30, 1976). NCES Annual Summary Report on the Grants to States Program.

Although the individual states vary considerably, about two-thirds reported serving between one and four percent of their target populations. The most noteworthy exceptions were Wyoming, Delaware, Hawaii, and Alaska; they reported serving 20, 25, 33, and 78 percent of their target populations, respectively. However, the definitions of target population used by these states were considerably more restrictive than those used by most others. It appears from these data that one out of three adults 16 years or older could benefit from adult education, and the need far exceeds the number of adults actually serviced by the available program.

B. PROGRAM GOALS AND EMPHASES

1. Program Goals

Federal law requires states to emphasize adult basic education, although some expenditures (i.e., up to 20%) for secondary level education are allowed. English as a second language training also is encouraged and in some states constitutes a major component of the program.

To obtain more detailed information about goals and emphases of adult education programs, the state directors rated the importance in their states of each of 11 goals derived from the literature on adult education. Directors were then asked to indicate which of the goals they considered the first, second, and third most important in their states. Their mean ratings and the number of directors assigning each goal statement a rating of seven (indicating the goal is "highly important") are included in Table 4.4. The ranking of the means shows goal 4, that of obtaining basic knowledge, is the most important to the directors; more directors (45) rated that goal as highly important than any of the other goals. The two goals receiving the lowest ratings were: obtaining better employment and enabling socialization. To the second question, directors reported the following three goals are the most important across their states: to obtain basic knowledge, to enable completion of 8th grade equivalency, and to enable completion of GED (high school equivalency).

TABLE 4.4

IMPORTANCE IN THEIR STATE OF PROGRAM GOALS AND BENEFITS AS REPORTED BY STATE DIRECTORS OF ADULT EDUCATION

Goals and Benefits	Ranking of Mean Scores	Mean*	Standard Deviation	No. 7's
EDUCATIONAL				
1. Enable completion of eighth grade equivalency	6	6.0	1.42	31
2. Enable completion of GED (High) School Equivalency)	9	5.9	1.52	24
3. Increase competency in English language	2	6.4	.93	30
4. Obtain basic knowledge (reading, writing, mathematics)	1	6.8	.59	45
5. Obtain education necessary for enrolling in other programs, vocational training, etc.	8	5.9	1.28	22
EMPLOYABILITY				
6. Obtain employment	7	5.9	1.14	20
7. Ootain better employment, a salary increase, etc.	10	5.6	1.15	14
PERSONAL AND SOCIETAL				
8. Increase self-confidence of students	4	6.3	1.04	29
9. Enable socialization among adults and/or facilitate their making new friends	11	5.3	1.37	13
10. Increase ability to cope with adult-life roles and problems	5	6.2	1.00	25
11. Prepare students to meet special short-term goals (e.g., complete job applications or obtain a driver's license)	3	6.3	1.03	30

*Each goal was rated on a 7-point scale where 1 = not important and 7 = highly important.

2. Instructional Emphasis on Competency-Based Education

Over the last ten years, the competency-based education movement has gained ground among adult educators. The result has been a redesign of many adult education programs. Although the movement began at the secondary level, its rapid acceptance in the area of adult education is related to the nature of adult programs. Since adults have already acquired practical experience which may enable them to demonstrate attainment of specific competencies, a competency-based adult education (CBAE) program offers them the possibility of eliminating unnecessary formal coursework while receiving credit for already acquired competencies. In 1977, the National Advisory Council on Adult Education (NACAE) recommended to Congress that "grade level reference should be eliminated" from the Federal Adult Education Act "and the purpose reflect a competency-based program geared to individual needs."[9/] Thereby the influence and prestige of the NACAE was added to the movement.

In 1978, a National Invitational Workshop on Adult Competency Education was convened in Louisiana with the purpose of considering several critical issues of CBAE and developing responses to them.[10/] One of the issues considered was the development of a functional definition of Competency-Based Adult Education. As a result of the workshop, the following definition was formulated:

> "Competency-Based Adult Education (CBAE) is a performance-based process leading to demonstrated mastery of basic and life skills necessary for the individual to function proficiently in society."[11/]

9/ National Advisory Council on Adult Education. Adult Education Futures and Amendments, Survey of State Support, Washington, Government Printing Office, 1977, p.6.

10/ Report of the USOE Invitational Workshop on Adult Competency Education. HEW, Office of Education. Government Printing Office, 1978, p.1.

11/ Ibid., p.1.

The building block of a successful competency-based adult education program is the adequate identification of necessary competencies. In an attempt to define them, the USOE contracted the Texas Education Agency and the University of Texas at Austin to conduct a study for the purpose of specifying those competencies which are functional to economic and educational success in today's society, and to develop devices for assessing those competencies of the adult population in the U.S.[12/] The five-year Texas study is known as the Adult Performance Level (APL) Study.

The APL project first redefined the concept of functional literacy in terms of the integration of reading, writing, problem-solving and computation skills in the areas of occupational knowledge, consumer economics, government and law, health and community resources.[13/] Second, the APL project developed performance indicators based on the identification of these functional competencies. Third, it administered these instruments to a representative sample of U.S. adults and produced some new and shocking estimates of literacy rates in the U.S., indicating that only 46.3% of the population is proficient in the areas defined as requirements for functional literacy. Of greater concern, a full 19.1% were categorized as "functionally incompetent."[14/]

To assess the extent competency-based approaches are emphasized, state directors were asked to indicate the approximate percentage of federally supported ABE/ASE/ESL projects in their state which have implemented or are encouraging their teachers to implement some form of competency-based education. Directors were also asked to indicate the percentage of projects using the Adult Performance Level (APL) approach to competency-based adult education.

Eighteen directors (35%) reported that all of their local projects were implementing or encouraging the use of some form of CBAE. The mean percent of local projects using CBAE across the states was 66.4% and the median was 75%. A

12/ Lyle, B.R. Final Report: The Adult Performance Level Study. Austin, University of Texas, 1977, p.1.

13/ Parker, J.T. "Adult Performance Level." HEW, Office of Education. Memo. March 1978, p.1.

14/ Final Report: The Adult Performance Level Study. op.cit. p.41.

much smaller percentage of projects, however, use the University of Texas APL approach to CBAE. State directors reported that a mean of 30.8% of their local projects use this approach and the median response was only 12%.

As states encourage the development and actually achieve the implementation of CBAE approaches, they seem to emphasize certain content areas more than others. Table 4.5 shows that over 90% of directors indicated that functional reading/literacy and consumer skills are competency areas which their states have emphasized. Although employability goals are not rated as highly as other goals presented in Table 4.4, 86% of the state directors reported that pre-employment skills have been a priority in the development of CBAE components for their states.

TABLE 4.5

TOPICS WITHIN ADULT COMPETENCY-BASED EDUCATION GIVEN PRIORITY BY SEAs DURING THE PAST YEARS AND/OR IN DEVELOPING THEIR THREE-YEAR PLAN STATE PLANS

SUBJECT AREA	PERCENT*
Functional reading/literacy	95.5
Consumer skills	93.2
Pre-employment skills	86.4
Bilingual education/ESL	81.8
Health	77.3
Government and law	75.0
Community resources	68.2
Parent education	56.8

*Percents total more than 100% due to multiple responses.

C. FINANCIAL RESOURCES AND PROGRAM COSTS

Since its first year of funding in 1965, federal financial resources for adult education have grown by over five times the original appropriation of $18,612,000. In 1965, several states did not receive any funds and allocations

ranged from $11,629 (for Montana) to $1,862,617 (for California). In FY 1980, all states received federal funds, with the lowest state allocation being $240,062 (for Alaska) and the highest at $8,334,833 (for New York.)

Table 4.6 presents a comparison of state allotments for FY 1979 and FY 1980 as well as the maximum amounts allowable for state plan administration. Up to five percent of the total allocation is available for administrative purposes, although no state receives less than $50,000 for administration. Administrative funds are used to support state staff, so that they may provide assistance to local projects, engage in state planning and coordination, and otherwise administer the program in their state.

1. State and Local Contributions

The states are required to provide a 10% match to the federal adult education funds. A state's match may come from state or other non-federal sources. The Adult Education Act also says that states may not reduce the amount of non-federal monies they provide below the previous year's level. Thus, the level of non-federal effort must be maintained.

The proportion and sources of the non-federal share of their adult education funds varies considerably from state to state. States also vary with respect to the extent and manner in which data on non-federal expenditures are collected and reported. In several states, there is a policy not to collect and report to USOE the full level of non-federal contributions. To avoid being obligated to maintain the same level of effort in future years, these states report only the minimum amount required. In some cases, no effort is made to collect complete data on non-federal contributions while in others data are collected but not reported to USOE. Some states report only the minimum amount required to USOE and report other more complete data to other organizations (e.g., NACAE).

The states also vary a great deal in the funding patterns used to support their adult education programs. In this survey, state directors were asked to indicate the approximate percentage of their total ABE, ASE and ESL participants during the 1978-79 program year who were in programs supported by four different

TABLE 4.6

ADULT EDUCATION

COMPARISON OF STATE ALLOTMENTS AND MAXIMUM AMOUNTS ALLOWABLE FOR STATE ADMINISTRATION

FISCAL YEARS 1979 AND 1980

STATE	COMPARISON OF STATE ALLOTMENTS			COMPARISON OF MAXIMUM AMOUNTS ALLOWABLE FOR STATE ADMINISTRATION		
	FY 1979	FY 1980	AMOUNT OF INCREASE	FY 1979*	FY 1980**	AMOUNT OF INCREASE
Total:	$90,750,000	$100,000,000	$9,250,000	$4,360,428	$4,761,905	$401,477
Alabama	1,785,980	1,971,921	182,941	75,325	80,387	5,062
Alaska	231,019	240,062	9,043	39,000	50,000	11,000
Arizona	769,742	838,917	69,175	39,000	50,000	11,000
Arkansas	1,099,144	1,205,087	105,943	46,279	50,000	3,721
California	6,648,292	7,373,624	725,332	279,920	300,584	20,664
Colorado	829,716	905,585	75,869	39,000	50,000	11,000
Connecticut	1,275,606	1,401,245	125,639	53,708	57,121	3,413
Delaware	353,315	376,008	22,693	39,000	50,000	11,000
Florida	2,972,916	3,288,007	315,091	125,172	134,035	8,863
Georgia	2,314,934	2,556,582	241,648	97,468	104,218	6,750
Hawaii	386,144	412,502	26,358	39,000	50,000	11,000
Idaho	394,563	421,861	27,298	39,000	50,000	11,000
Illinois	4,521,894	5,009,881	487,987	190,390	204,226	13,836
Indiana	2,166,392	2,391,460	225,068	91,214	97,487	6,273
Iowa	1,127,497	1,236,604	109,107	47,472	50,410	2,938
Kansas	917,292	1,002,937	85,645	39,000	50,000	11,000
Kentucky	1,747,260	1,925,544	178,284	73,567	78,494	4,927
Louisiana	1,788,144	1,970,992	182,848	75,288	80,347	5,059
Maine	530,275	572,721	42,446	39,000	50,000	11,000
Maryland	1,680,358	1,851,175	170,817	70,750	75,463	4,713
Massachusetts	2,151,668	2,375,093	223,425	90,594	96,820	6,226
Michigan	3,544,162	3,923,015	378,853	149,224	159,921	10,697
Minnesota	1,452,249	1,597,605	145,356	61,146	65,126	3,980
Mississippi	1,182,887	1,298,177	115,290	49,804	52,920	3,116
Missouri	2,136,877	2,358,650	221,773	89,971	96,150	6,179
Montana	388,278	414,875	26,597	39,000	50,000	11,000
Nebraska	657,556	714,209	56,653	39,000	50,000	11,000
Nevada	297,955	314,469	16,514	39,000	50,000	11,000
New Hampshire	411,882	441,113	29,231	39,000	50,000	11,000
New Jersey	3,026,806	3,347,912	321,106	127,441	136,477	9,036
New Mexico	511,985	552,390	40,405	39,000	50,000	11,000
New York	7,512,984	8,334,833	821,849	316,327	339,767	23,440
North Carolina	2,659,323	2,939,411	280,088	111,968	119,825	7,857
North Dakota	389,977	416,763	26,786	39,000	50,000	11,000
Ohio	4,271,088	4,731,080	459,992	179,830	192,861	13,031
Oklahoma	1,198,479	1,315,509	117,030	50,461	53,626	3,165
Oregon	874,987	955,909	80,922	39,000	50,000	11,000
Pennsylvania	5,071,342	5,620,657	549,315	213,524	229,124	15,600
Rhode Island	569,204	615,995	46,791	39,000	50,000	11,000
South Carolina	1,415,645	1,556,915	141,270	59,605	63,467	3,862
South Dakota	402,138	430,281	28,143	39,000	50,000	11,000
Tennessee	2,027,219	2,236,752	209,533	85,354	91,180	5,826
Texas	4,963,583	5,500,870	537,287	208,987	224,241	15,254
Utah	438,736	470,964	32,228	39,000	50,000	11,000
Vermont	306,369	323,823	17,454	39,000	50,000	11,000
Virginia	2,180,827	2,373,823	223,296	90,546	96,768	6,222
Washington	1,234,711	1,355,785	121,074	51,986	55,268	3,282
West Virginia	995,562	1,089,943	94,381	41,917	50,000	8,083
Wisconsin	1,769,760	1,950,556	180,796	74,514	79,514	5,000
Wyoming	256,325	268,193	11,868	39,000	50,000	11,000
District of Columbia	445,114	478,054	32,940	39,000	50,000	11,000

*FY 1979 maximum allowable for State Administration on a nationwide basis = $4,360,428. State computations for FY 1979 based on $39,000 minimum or 4.3104% of FY 1979 allotment, whichever is greater.

**FY 1980 maximum allowable for State Administration on a nationwide basis = $4,761,905 (5 of 105 parts x $100,000,000). State computations for FY 1980 based on $50,000 minimum for States and $25,000 for insular areas or 4.0764% of FY 1980 allotment, whichever is greater. (Provided by Division of Adult Education)

funding combinations: federal but no state funds; federal and state funds; state but no federal funds; and neither federal nor state funds. In each case, federal funds were clearly defined as only those coming from the Adult Education Act.

As would be expected, most states reported supporting most of their participants with a combination of federal and state funds. Almost all states (47) reported that over one-half of their ABE participants were supported with a combination of federal and state monies. Three states, however, reported that 100% of their ABE, ASE, and ESL students were served with federal but no state funds (local support constituting the 10% non-federal match), and three other states reported using no state funds for the ABE and ESL aspects of their program. Conversely, nine states reported serving 100% of their ASE participants through state but no federal funds, and another 19 reported using exclusively state funds for sizeable portions of their total program.

In addition to federal funds, many states depend on local contributions. Indeed, two-thirds of the states (34) reported that local grantees are required to contribute to the costs of operating local programs.

Regardless of whether local contributions are required, most states (37) reported that they have data which accurately estimate the total local contribution to operating federally supported ABE/ASE/ESL programs in their states. Thirty-five of these directors responded to follow-up questions and indicated that the percentage of support local projects provide ranges from 2% to 75%. Twelve states reported receiving from 2-10%; 17 states from 11-25%; three states from 30-45%; and three states reported 55%, 60%, and 75% respectively. Additionally, the directors in 21 of the states reported that the level of local contributions had increased while those in 13 other states reported that it had remained the same over the past two or three years.

2. Costs Per Participant

Using the state directors' estimates and DAE's allotment figures for FY 1979, Table 4.7 provides a breakdown by the 10 HEW Regions of estimated dollar costs per participant, the size of the target population, the number of participants served, and state allotments for FY 1979. As shown, Region IX (Arizona, California, Hawaii, and Nevada) served the highest percent of their target populations (8.11%) and the second highest actual number of participants (437,086). It also had the lowest cost per participant ($18.54). The size of California's target population and its substantial commitment of state funds accounts for some of these findings, but not for the low participant cost. To determine if the low participant cost was due to reporting peculiarities of California or another state, the data were reanalyzed but no substantial changes in the results were found.

TABLE 4.7

HEW REGIONAL DISTRIBUTION OF TARGET POPULATION AND STATE ALLOCATIONS AND COSTS

	No. adults in target population*	Per-cent served	No. par-ticipants served*	Total FY1979 state allotment	Cost in dollars per participant
1. Region I	3,035,000	1.82	55,450	$ 5,245,024	$ 94.59
2. Region II	2,600,000	3.63	94,600	10,539,790	111.41
3. Region III	6,953,337	2.00	139,245	10,696,218	76.82
4. Region IV	11,084,399	5.48	609,418	16,106,164	26.43
5. Region V	9,955,189	1.59	158,326	17,725,545	111.96
6. Region VI	4,739,729	5.01	237,720	9,561,335	40.22
7. Region VII	3,243,910	2.82	91,663	4,839,222	52.89
8. Region VIII	1,221,000	1.69	20,642	2,705,170	131.05
9. Region IX	5,389,026	8.11	437,086	8,102,133	18.54
10.Region X	1,107,000	7.90	87,560	2,735,280	31.24

*State director estimates of target population and number adults served.

Region I - CT, ME, MA, NH, RI, VT; Region II - NJ, NY; Region III - DE, DC, MD, PA, VA, WV; Region IV - AL, FL, GA, KY, MS, NC, SC, TN; Region V - IL, IN, MI, MH, OH, WI; Region VI - AR, LA, NM, OK, TX; Region VII - IA, KS, MO, NE; Region VIII - CO, MT, ND, SD, UT, WY; Region IX - AZ, CA, HI, NV; Region X - AK, ID, OR, WA.

The most participants served and the next to the lowest cost per participant were in Region IV, the eight southern states. The per participant cost in Region IV was $26.43. However, if Florida, a state reporting a relatively large number of participants served at a low federal cost is omitted from these calculations, the average cost per participant for the region more than doubles. Overall, Regions IV and IX account for 54% of all participants. The national average cost per participant for FY 1979 was $46.

The available information suggests that the most plausible explanation for the wide differences in the estimated cost per participant across the regions lies in the different bases used for the number of participants and amount of funds reported. As discussed earlier, the federal maintenance of effort requirement has a definite but indeterminant and uneven effect on the amount of state and local funds reported which makes all cost ratios somewhat suspect. In addition, the states not only differ in how they define the adult education target population, they differ in how they define program participants. Some states gather and report participant data in terms of the actual number of contact hours per person while others have only the numbers enrolled by class to report. Also, the definitions of the type of course included vary as well. Some states report participants only in ABE, ASE, or ESL courses narrowly related to the Adult Education Act, while others are more inclusive. At least one state, for example, reports all participants in adult courses which offer high school credit (e.g., chorus, drama, woodworking, etc.), whether the participants are enrolled for credit or not.

Illustrative of these variations on a state-by-state basis are the data presented in Tables 4.8 and 4.9. They provide a summary of data from the six largest and five smallest states in terms of target population size, participants served and federal funding allotment to the states. In Table 4.8, for example, it may be seen that the state which was fifth in terms of target population and number served (New York) received the largest federal allotment. Conversely, the state (Florida) which reported reaching the most people and has the fourth largest target population, received less federal funds than the other largest states. However, New York uses a generally restrictive operational definition of participants, while Florida's is quite broad. Similarly, as shown in Table 4.9,

TABLE 4.8

COMPARISONS OF SIX LARGEST STATES BY TARGET POPULATION, PARTICIPANTS SERVED AND STATE ALLOCATIONS FY 79

STATES	Target Population		AE Participants			State Allocation	
	Number	Rank	Number	%	Rank	Amount	Rank
California	4,500,000	1	360,000	8.0	2	$ 6,648,292	2
Pennsylvania	3,561,337	2	39,175	1.1	6	5,071,342	3
Illinois	3,400,000	3	74,800	2.2	4	4,521,894	5
Florida	3,200,000	4	400,000	12.5	1	2,972,916	6
New York	2,000,000	5	70,000	3.5	5	7,512,984	1
Texas	1,700,000	6	153,000	9.0	3	4,963,583	4
TOTAL	16,561,337		1,096,975			$31,691,011	

TABLE 4.9

COMPARISON OF FIVE SMALLEST STATES BY TARGET POPULATION, PARTICIPANTS SERVED AND STATE ALLOCATIONS - FY 79

STATES	Target Population		AE Participants			State Allocation	
	Number	Rank	Number	%	Rank	Amount	Rank
Montana	85,000	1	2,550	3.0	2	$ 388,278	1
Nevada	48,000	2	2,112	4.4	3	297,955	3
Wyoming	10,000	3	2,000	20.0	5	256,325	4
Delaware	8,000	4	2,000	25.0	4	353,315	2
Alaska	7,000	5	5,460	78.0	1	231,019	5
TOTAL	158,000		14,122			$1,526,892	

the state receiving the smallest state allocation (Alaska) reported serving the highest percent and actual number of participants of the five states, but Alaska reported in terms of the NACAE's relatively restrictive concept of the "demand population."

D. ORGANIZATION AND STAFFING

Although each state has an adult education program, their locations in each state's organizational structure vary considerably. For example, in Alabama the program is a part of the Division of Post-secondary and Continuing Education, while in Arizona it is under the Associate Superintendent for General Education Services. In Maine it is part of the Bureau of Vocational Education, and in Vermont the ABE and GED programs are under the Division of Teacher, Continuing Education, Research, and Development. In each of these and all other states, the program is structurally located within the State Education Agency.

1. Size of Staff

Overall, the states reported that 233 administrative and supervisory personnel work with the federal adult education program; this was the equivalent of 164 full-time personnel. Per state, the median number of staff was 3.4 and the median number in full-time equivalents (FTEs) was 2.7. Tables 4.10 and 4.11 provide an overview of the extent to which staff sizes vary from state to state. As shown in Table 4.10, eight SEAs have only one staff person working with their adult programs, while four states have 11 or more staff.

TABLE 4.10

NUMBER OF STATE LEVEL ADMINISTRATIVE AND SUPERVISORY PERSONNEL WORKING WITH THE FEDERAL ADULT EDUCATION PROGRAM

Number of Staff Per State	Number of SEAs	Number FTE* Per State	Number of SEAs
1	8	1	12
2	13	2	10
3-6	20	3-6	21
7-10	6	7-10	2
11 or more	4	11 or more	2
Total Staff = 233 Mean = 4.56 Mode = 2		Total FTE = 164 Mean = 3.48 Mode = 1	

*Full-time equivalents.

To gain some insight into the importance of the size of SEA staff, its relationship to several other variables were explored. As might be expected, the number of staff tends to increase with the amount of federal funds available for administration. The six states receiving the largest amounts of federal funds for SEA administration have a total of 61 staff, while 20 of the 23 states receiving the minimum allocation of $50,000 have only one to three people on their staffs.

Also positively related to staff size are the number of participants served and the number of grants awarded. However, no relationship was found between size of staff and the percent of the target population served.

2. Staff Deployment

Most of the 233 SEA staff persons are geographically centralized in their respective state offices. Forty-two states have all staff in the SEA office and nine SEAs have regional staff locations. These nine SEAs have from four to six regional office sites. Regardless of geographic dispersion, however, most staff have some combination of functional and geographical assignments. States also appear to be satisfied with their current staffing patterns. Over 80% of the directors reported they believe their current division of staff responsibilities is a very effective response to state needs.

TABLE 4.11

MAXIMUM ADULT EDUCATION ADMINISTRATION COST AND NUMBER OF STATE STAFF

STATE	FISCAL YEAR 1980		
	MAXIMUM AMOUNT ALLOWED STATE ADMINISTRATION	NUMBER SEA STAFF	NUMBER FTE
TOTALS	$4,761,905	233	164
1. Alabama	80,385	8	8
2. Alaska	50,000	3	3
3. Arizona	50,000	3	3
4. Arkansas	50,000	10	10
5. California	300,584	6	6
6. Colorado	50,000	2	2
7. Connecticut	57,121	3	3
8. Delaware	50,000	1	1
9. District of Columbia	50,000	6	1
10. Florida	134,035	13	13
11. Georgia	104,218	5	Missing
12. Hawaii	50,000	2	2
13. Idaho	50,000	1	1
14. Illinois	204,226	15	6
15. Indiana	97,487	6	5.5
16. Iowa	50,410	3	3
17. Kansas	50,000	1	1
18. Kentucky	78,494	7	Missing
19. Louisiana	80,347	7	3.5
20. Maine	50,000	2	1.5
21. Maryland	75,463	9	4
22. Massachusetts	96,820	9	Missing
23. Michigan	159,921	5	5
24. Minnesota	65,126	2	2
25. Mississippi	52,920	5	Missing
26. Missouri	96,150	4	3.7
27. Montana	50,000	1	1
28. Nebraska	50,000	3	3
29. Nevada	50,000	2	1.1
30. New Hampshire	50,000	2	2
31. New Jersey	136,477	6	3
32. New Mexico	50,000	1	1
33. New York	339,767	6	6
34. North Carolina	119,825	2	2
35. North Dakota	50,000	1	1
36. Ohio	192,861	4	3
37. Oklahoma	53,626	4	4
38. Oregon	50,000	2	1.5
39. Pennsylvania	229,124	5	5
40. Rhode Island	50,000	1	1
41. South Carolina	63,467	12	12
42. South Dakota	50,000	2	2
43. Tennessee	91,180	5	5
44. Texas	224,241	18	4
45. Utah	50,000	2	1
46. Vermont	50,000	1	1
47. Virginia	96,768	4	4
48. Washington	55,268	2	2
49. West Virginia	50,000	5	5
50. Wisconsin	79,514	2	2
51. Wyoming	50,000	2	1.5

*Taken from tables 15 & 16 Adult Education - ABE-ASE Level Program Statistics - Draft version 1976.

3. Staff Functions

As shown on Table 4.12, approximately half of the state directors reported they devote between 75% and 100% of their time to responsibilities associated with the federally supported adult education program; only two directors reported they devote 25% or less of their time to the federal program. Overall, 75.5% was the median reported percentage. With the exception of three directors who are not involved with ESL programs, all 51 state directors reported they supervised ABE, ASE and ESL activities in their state.

TABLE 4.12

ESTIMATED TIME DEVOTED TO THE FEDERAL ADULT EDUCATION PROGRAM PER YEAR BY STATE DIRECTORS OF ADULT EDUCATION

Percent of Time	0-25	26-50	51-75	76-99	100	Total
Number of Directors	2	15	8	9	16	50*
Percent of Directors	4	30	16	18	32	100%

*One director did not respond.

To obtain insight into how staff time is used, directors were asked to indicate which of eight activities listed in Table 4.13 received "a significant amount (e.g., 5% or more) of staff time" during the past year. As may be seen, all states reported staff devoted significant amounts of time to assisting local projects, and almost all devoted significant time to preparing the state plan. Staff in substantially fewer states, however, devoted time to dissemination of research results or developing curriculum guides. When asked to rank the eight activities in terms of expenditure of time, the directors reported that the three most time consuming activities were: (1) monitoring local projects, (2) providing technical assistance to local projects, and (3) reviewing and processing annual proposals.

TABLE 4.13

ADULT EDUCATION ACTIVITIES RECEIVING SIGNIFICANT AMOUNTS (i.e., 5% or more) OF SEA STAFF TIME DURING THE PAST YEAR (1979)

Activity	Percent of States
1. Providing technical assistance to local programs	100
2. Developing annual three-year plan	98
3. Monitoring local programs	96
4. Reviewing and processing annual proposals	92
5. Coordinating with other state agencies, public relations	92
6. Completing Federal reports	86
7. Disseminating AE research	57
8. Developing curriculum guides	51

E. MAJOR SEA FUNCTIONS AND ACTIVITIES

SEA administrative staff devote the largest share of their time to activities in several functional areas. These areas include: planning and coordinating adult education activities; funding local adult education projects and assisting them in technical areas; and, monitoring and reporting on state and local adult education activities.

1. Planning

State level planning in adult education tends to center around the process of developing and maintaining mandated state plans. As noted in the previous chapter, the 1978 amendments to the Adult Education Act called for modifications

in the ways states plan their adult education programs. In essence, these modifications broadened both the time frame and the information base states must consider when developing plans for adult education activities. The one-year time period state plans were required to encompass was extended to three years. In addition, plans were to be based on needs assessments and developed through a broadly based, participatory process. These steps were taken to help ensure adult education programs serve all segments of the eligible populations in a state.

Broadly speaking, reactions to the needs assessment requirement have been cool. The substudy of the state plan development process found that most states object to conducting statewide assessments for two reasons. First, present funds are not sufficient to allow needs assessment activities to be carried out. Secondly, most directors believe data from needs assessments would change their current figures on the size of target populations by less than 10% and have little impact on populations to be served by adult education programs. States currently rely primarily on census data when developing their plans, and update this information where possible. In this regard, useful data are sometimes available from other agencies in a state. For these reasons, most state directors have not perceived a need to establish the capacity to conduct statewide assessments and the directors in 26 states did not feel the time they spent in the past year developing a needs assessment was beneficial.

With respect to participatory planning, state directors reported that the process used to develop three-year state plans differed substantially from those previously employed. Forty-nine of them indicated that they had adopted a participatory planning strategy and most indicated that there had been some moderate benefits as a result. For example, 37 directors believed the participatory planning process expanded the system for delivering adult education services, while 38 believed it aided them in reaching target groups and 35 felt it helped program goal setting. The provision of transportation and day care, two key and expensive program services, however, was not assisted to any great degree.

In addition, state directors reflected on the contributions that participatory planning made to the process of developing the plan. As shown on

Table 4.14, over 50% of directors felt involving agencies, citizen's groups, and the like made a moderate or great contribution to developing the following aspects of their three-year adult education state plan planning strategy, needs assessment, resource assessment, goal setting, priority selection, and identification of activities needed to complete the planning process. Participatory planning was least helpful in the latter area.

Deeper insights into the state planning process than were possible from a mail survey were obtained from the substudy of state plan development. From the substudy, it was clear that the states vary in the degree and manner of participatory planning. From these seven states, four different approaches emerged:

- State adult education staff planning activities with minimal input from others;
- Statewide participatory planning councils established and providing some input to adult education staff;
- Regional planning councils throughout the state utilized to advise adult education staff; and
- Planning councils in each county established to develop local plans which formed the basis of the state plan.

In three of the states studied, the SEA staff developed the state adult education plan, basing it on SEA data plus that received from other state and private agencies in much the same way plans had been developed in the past. In the others, there were at least some substantive changes in procedure and an increase in participation from prior years; and these changes were made at little or no additional cost.

TABLE 4.14

STATE DIRECTORS' ASSESSMENTS OF THE POSITIVE CONTRIBUTION OF PARTICIPATORY PLANNING ON DEVELOPING SPECIFIED ASPECTS OF THE THREE-YEAR STATE PLANS
(Number of Directors)

Planning Elements	Extent of Contribution			
	None	Little	Moderate	Great
a. Planning strategy	4	17	21	7
b. Needs assessment	4	19	18	8
c. Resource Assessment	5	13	23	7
d. Goal Setting	3	14	17	15
e. Selection of Priorities	3	15	17	13
f. Identification of Major Activities to Complete Planning Process	9	15	18	7

2. Interagency Coordination and Collaboration

The 1978 amendments to the Adult Education Act require states to describe "the procedures...to ensure...there will be adequate consultation, cooperation, and coordination among the SEA...and other agencies...which operate employment and training programs...for adults."

Forty-nine states reported having cooperative arrangements at the state level with a variety of types of agencies. These arrangements were established through formal agreements and in informal ways. Half of the states reported having formal agreements with health agencies and correctional institutions and having informal arrangements with anti-poverty, social services, mental health, and vocational rehabilitation organizations. Table 4.15 summarizes the percent of states having formal or informal agreements with nine selected agency types.

TABLE 4.15

SUMMARY OF PERCENT OF STATE ADULT EDUCATION PROGRAMS WITH FORMAL AND INFORMAL COOPERATIVE AGREEMENTS WITH SELECTED AGENCIES

Agency	Type of Agreement		
	Formal	Informal	None
	%	%	%
Correctional Institutions	51	43	6
Social Services	35	56	10
Health Services	51	35	14
Employment Training/Placement Agencies	39	45	16
Mental Health Agencies	30	49	22
Antipoverty Agencies	21	57	22
Vocational Rehabilitation Agencies	28	49	23
Television Stations	14	39	47
Religious Organizations	2	41	57

There are positive and negative outcomes of coordination among state agencies in planning and implementing adult education programs. Many of the important benefits occur at the local level, but there are some significant benefits at the state level as well. Indeed, 80% of the states reported that because of interagency cooperation there were increases in coordination in the following areas: student recruitment; public awareness of the adult education programs; and public support for adult education. Furthermore, about half of the states reported experiencing: increased feedback about the program; extension of adult education to hard to reach groups; and increased support services for local projects.

Categorical funding, conflicting eligibility rules and turf protection present obstacles to successful coordination at the state level. However, according to the state directors, the lack of staff and resources for effective cooperation stands as the most difficult obstacle to overcome. A third of the states (17) indicated that obstacle was very much a problem.

A compounding problem in most states was that cooperation between agencies is established through personal contacts rather than formal policy mechanisms. Therefore, when personnel in an agency changed, the cooperation ceased In each of the seven case study states, for example, the federally required A-95 interagency review process was followed perfunctorily, but the real cooperation in planning and service delivery was based on personal working relationships between agency staff.

Perhaps because of the obstacles encountered and some negative results (e.g., almost half the directors reported administrative trivia increased as a result of interagency coordination) state directors' overall assessments of the benefits of collaboration was not very high. When asked how advantageous to the adult education program it had been to turn to other agencies in planning and implementation, a third of the states reported it was not advantageous. On a seven point scale, the mean score was 4.1, with four states providing the maximum rating of "7" (very advantageous) and 32 states selecting 3's, 4's and 5's.

3. Funding Local Projects

The states utilize the major portion of their federal grant allotments to fund local programs of instruction. In FY 1979, the states received a total of 2,874 applications for instructional programs, 2,748 (96%) of which were funded. In FY 1980, the number of proposals received increased, but a lower percent was funded; there were 2,741 (91%) funded out of 3,023 submitted (see Table 4.16). With respect to the future, most of the state directors predicted the number of applications will increase further, thus intensifying the competition for funds. This suggests that the 1978 legislative emphasis on expanding the delivery system may already have had some effect.

TABLE 4.16

COMPARISON OF APPLICATIONS RECEIVED AND FUNDED IN 1979 AND 1980 FOR INSTRUCTIONAL PROGRAMS TO BE FUNDED UNDER SECTION 306 OF THE ADULT EDUCATION ACT*

	1979	1980	Change
Total Applications Received	2,874	3,023	+149
Number Funded	2,748	2,741	-7
Percent Funded	96%	91%	-5

*As reported by State Directors of Adult Education.

As shown in Table 4.17, the number of grantees or local sponsors within a state varied considerably. At one extreme there was Hawaii with one grant, the District of Columbia with three regionalized grantees within the city, and the states of Vermont, Nevada, Idaho and Utah with fewer than ten local grantees apiece. At the other extreme, there were Pennsylvania with 206, California with 148 and New York and New Jersey with 120 local grantees each. Overall, the median number of grantees per state in 1980 was 40.

TABLE 4.17

COMPARISON OF NUMBER OF GRANTS AWARDED IN 1979 AND 1980 FOR INSTRUCTIONAL PROGRAMS UNDER SECTION 306 OF THE ADULT EDUCATION ACT

Number of Grants per State	Number of SEAs	
	1979	1980
1-10	7	7
11-25	9	9
26-50	15	15
51-100	13	10
101-206	7	10
Median number of grants per state for 1980 = 40		

To gain insights into the project grant-making process, state directors were asked whether there are any legal restrictions in their states on the type of agencies that may receive grants. As shown in Table 4.18, 26 of the 51 SEAs reported having no limits on types of local grantees while 24 SEAs reported there were limits of some form. Five states (Georgia, Pennsylvania, Tennessee, Utah, and Montana) reported restricting their funding for local projects to LEAs. Several other states restrict grants to include only community colleges and LEAs. However, it is not clear how such restrictions are articulated, since actual laws in those states were not examined first hand. Whether a state reported limits was not related to its size, the size of its target population or the percentage of the target population served by its projects.

TABLE 4.18

STATE LIMITATIONS ON THE GRANTING OF FUNDS FOR OPERATING ADULT EDUCATION PROGRAMS*

Extent and Types of Limitations	Number of States
Extent of Limits:	
No limits	26
Some limits	24
Types of Limitations:	
• Limited only to LEAs	5
• Open to everyone except religiously affiliated organizations	10
• Other limitations	7

*As reported by State Directors of Adult Education; state statutes and policies were not examined first hand.

State directors were also queried about whether the size of local grants is determined by some more or less standard dollar amount. Seventeen states reported using such a standard. Of those 17 states, five used a cost per student

basis which ranged between $55 and $200; five others considered cost per instructional hour; and four based their grants on the cost per ten hours of instruction. The per unit standard for the latter nine projects was between $2 and $23.

4. Technical Assistance to Local Projects

Earlier, it was reported that providing technical assistance to local projects is one of the more time consuming tasks state adult education staff perform. This is understandable since most modes of state interactions with local projects could be considered to be forms of technical assistance. Table 4.19 presents the modes of interacting with local projects most commonly used by SEA staff. As may be seen, states rely most heavily on telephone contacts with their projects to share information about state and local adult education activities. States also make heavy use of visits to local projects, with such visits more likely to be initiated by the SEA than the local project. For the dissemination of research findings and the results of special projects, the primary modes are inservice meetings, one-to-one contacts, and newsletters.

TABLE 4.19

MODES OF SEA INTERACTION WITH LOCAL ADULT EDUCATION PROJECTS

Mode of Interaction	Number of SEAs		
	Little Used	Sometimes Used	Often Used
a. Review of program submitted vouchers	9	12	23
b. Telephone conversations re: program	-	2	49
c. Onsite visits at local request	-	16	35
d. SEA initiated visits (monitoring and assistance)	-	7	44
e. Regional or area inservice training	-	19	32
f. Written correspondence and reports	1	15	35
g. Annual evaluation	2	19	29

Local project directors also indicated there is a relatively high level of interaction between themselves and their SEAs. Of the national sample of 404 local directors, 62% said that they have had a great deal of contact with their state adult education offices while an additional 33% said at least some contact with the SEA had occurred during the past year.

Local director ratings on the helpfulness of SEA assistance shows a high level of satisfaction with state offices as well. Sixty-nine percent of local projects directors felt assistance from the SEA had been very helpful. SEA assistance was at least somewhat helpful in the opinion of another 25% of local project directors.

Local directors were also asked to identify areas of assistance that they would most like SEAs to provide. As shown in Table 4.20, assistance in planning and budgeting is perceived as the most useful area for state assistance to local projects. This area is followed by assistance in staff development and in outreach and recruitment.

TABLE 4.20

AREAS OF TECHNICAL ASSISTANCE LOCAL DIRECTORS WOULD FIND MOST USEFUL FROM STATE AE PROGRAMS
(Percent of Local Directors, N=404)

Area of Technical Assistance	Most Useful	Second Most Useful
1. Planning and budgeting	33%	11%
2. Staff development	20	20
3. Outreach/recruiting students	14	11
4. Reporting and evaluation	9	23
5. Developing/selecting curriculum materials	-	11
6. Coordination with other agencies	6	11
7. Other	16	12
8. None, would prefer no assistance	2	1

5. Reporting

As previously discussed, completing federal reports was reported to have received significant amounts of staff time in 86% of the SEAs. Each year the

Division of Adult Education (DAE) receives program performance reports and financial reports from each state as well as copies of evaluations of special projects and a variety of other materials funded through the state grants.

With respect to the Annual Performance Reports, beginning with data from the 1966-67 program year, the National Center for Education Statistics (NCES) has worked with DAE to prepare an annual summary of the state data. The most recently available NCES report (still in draft form) summarizes information for the 1976-77 program year. Since 1973, there have been four versions of the adult education Annual Performance Report (APR), the most recent of which is OE Form 365-1, dated July, 1979. A revised form, reflecting the requirements of the 1978 legislation, is being prepared and will be used in the 1980-81 program year.

Because the APR data are the most complete available and because the validity and utility of some of the data have been questioned informally by some state adult education program directors, an assessment of the quality of the data was of interest. Thus, during visits to a representative sample of ten states in the spring of 1979, the state directors were asked to rate the overall accuracy of the 15 categories of data contained in the Annual Performance Reports.[15/] A summary of their ratings is presented as Table 4.21.

As shown by the distribution of mean ratings across the 15 APR data categories, almost three of the ten state directors gave the data an overall accuracy rating of 80% or less. Also, half or more of the respondents gave five of the categories an accuracy rating of 80% or less. When asked why they rated these items so relatively low, the most frequently given reasons were that there was no followup at either the state or local levels and that respondents indicated that they believed the data they received were quite accurate, but that so much was missing that it thoroughly invalidated what they reported to the federal levels.

15/ Responses from seven of the state directors were gathered as part of the state planning substudy; responses from the other three were collected during field tests of the instruments to be used in the main study. The ten states are: California, Deleware, Illinois, Kansas, Louisiana, Mississippi, New Jersey, New Mexico, New York, and Virginia.

TABLE 4.21

ANNUAL ACCURACY RATINGS

SUMMARY OF RESPONSES FROM TEN STATE ADULT EDUCATION DIRECTORS TO THE QUESTION

"Overall, how do you rate the accuracy of the following types of data included in the Adult Education Annual Performance Reports?"

APR DATA CATEGORIES	Number of Respondents per Performance Report Accuracy Rating						
	100%	95%	90%	80%	70%	60%	50% or Less
TABLE 1							
1. Number of participants by age	2	6	1				1
2. Number of participants by race and selected ethnic groups	3	4	1	1			1
3. Number of participants by sex	6	2	1				1
TABLE 2							
4. Number of enrollees by instructional level		9		1			
5. Number of completions by instructional level	1	5	2	1			1
6. Number of separations by instructional level	1	5	3	1			
7. Number separating, for 10 specified reasons (not including "other" and "unknown")		2	1	3	2	1	1
TABLE 3							
8. Number of participants by class location	4	5	1				
9. Number of classes by location	4	5	1				
TABLE 4							
10. Number of paid personnel by type of job performed	6	3	1				
11. Number of paid personnel taking training by type of job performed	3	6					1
TABLE 5							
12. Number of persons on waiting lists to enter program	1	2	2	1	1	1	2
13. Number of persons enrolled in other educational training programs		1	2	1	2		4
14. Number of persons who obtained job as a result of experience gained in program	1	1	1	3	1		3
15. Number of persons who received driver's license	1	1	2	2	1		3
Mean number of respondents across the 15 APR data categories	2.2	3.8	1.3	.9	.5	.1	1.2

More positively, it is of note that most of the APR data were highly regarded by the state directors (e.g., six of the ten directors rated the data as being 95% or 100% accurate). To obtain further information, several related questions were included on the mail survey of all state directors.

States primarily approach gathering and compiling APR information about adult education programs in two ways. Twenty-nine SEAs give their local projects a copy of the federal reporting form and ask them to complete it for their project; the state's report to USOE is a summary of these local reports. In 20 other states, local projects complete a performance report developed by their SEAs. The SEAs summarize some of these data for the federal report.

States use a variety of techniques to verify information reported by their local projects. As may be seen from information presented in Table 4.22, these techniques involve discussions with local project staff, participants, and knowledgeable individuals not associated with the agency sponsoring the project. In addition, states also rely on attendance records, class lists and third-party audits/evaluations when assessing the adequacy of local project reports.

TABLE 4.22

TECHNIQUES USED BY SEAs TO VERIFY REPORTS AND DATA SUBMITTED BY LOCAL PROJECTS

Technique	Percent*
1. General discussion of project progress and difficulties with program staff	88%
2. Monitoring visits by state AE staff at least once/ year	86%
3. Discusions with project staff focused specifically on reported data	84%
4. Verification of reported data against attendance records	58%
5. Discusions of program performance with project participants	57%
6. Verification of reported data against class lists	51%
7. Audit/evaluation reports by outside evaluators	45%
8. Discusions of project performance with persons not associated with the sponsoring agency	37%

*Percent total more than 100% since SEAs use more than one technique.

Besides gathering information needed to respond to the APR, states collect other information about their adult education projects. Table 4-23 shows the additional information states collect. It appears that states have a number of concerns extending beyond APR data. These include local coordination with public and non-public organizations, mentioned as frequently as any other area, as well as needs for staff development, and other forms of technical assistance, benefits to project participants and information on program planning processes. Only three states said they collect no other data from projects beyond that required for federal reporting purposes.

TABLE 4.23

INFORMATION ABOUT LOCAL ADULT EDUCATION PROJECTS COLLECTED BY SEAs IN ADDITION TO THAT SUPPLIED IN THE ANNUAL PERFORMANCE REPORTS

Information	Number of states Collecting this Information
Local coordination with public and non-public schools	37
Needs for staff development assistance	37
Needs for other training and/or technical assistance	35
Size of local target population	34
Reasons for participant separation	34
Characteristics of participants	30
Needs for materials/equipment	30
Benefits to participants	29
Characteristics of classrooms/instructional settings	27
Program planning process	26
Characteristics of non-participating members of the target population	6
No other information collected besides that for federal reporting purposes	3

F. SUMMARY

Each of the states and the District of Columbia is funded under the Adult Education Act to operate a statewide adult education program. In terms of the Adult Education Act, the primary roles of the state offices of adult education are to plan the expenditure of federal and related non-federal funds and then to manage the implementation of those plans.

The estimated size of the program's target population is 49.3 to 66.5 million, 25 million of whom are in 11 states. The operational definitions of the Act's target population vary across the states, as do the sources states use to estimate its size. Depending on the definition used, in FY 79 an estimated 3% to 4% of the target population was served.

The federal allotment to the states in FY 1980 was $100 million, with individual state allocations ranging from $240,000 to over $8 million. States are allowed to spend up to 5% of the total allocation, or a minimum of $50,000, on state administration. Another 10% is allowed for teacher training and research projects. The remainder is expended on local projects of instruction.

In FY 1980 the states awarded 2,741 local project grants. The number of grantees was between one and 206, but the median number was 40.

States are required to match their federal allotment with a 10% non-federal contribution, and the amount of non-federal resources must remain constant or increase each year. The non-federal resources are generally provided by a combination of state and local sources. Reliable information on the extent of the non-federal contribution is not available, however, because several states avoid being obligated to maintain the same level of effort from year-to-year by keeping no data or incomplete data on their non-federal contributions above the minimum amount required.

The average cost per participant across the country was $46. However, that amount varies considerably by state and region, from a low of $18.54 in Region IX to a high of $131.05 in Region VIII. Part of the apparent variation in cost is almost certainly explained by the variations in definitions of persons served and the reporting of non-federal share.

The sizes of state staffs vary in relation to the funding levels of the adult education programs and the number of local grantees. A total of 233 administrative and supervisory personnel reportedly work with state adult education programs, but this represents only a median of 2.71 full-time equivalents per state. Generally, the staffs are based in the central office and have both geographic and functional assignments.

The major SEA functions are: planning and coordinating adult education activities, working with other agencies, funding local projects providing them technical assistance, and monitoring and reporting on state and local activities. Efforts to comply with the requirements to plan state programs through a participatory process have varied. In some states the planning process largely resembles that used by these states before passage of the 1978 amendments. In others, though, processes for widespread participation have been developed which are relatively inexpensive to implement.

Almost all states have collaborative agreements with other agencies, many of which are informal. This has faciliated such things as participant recruitment, public support for adult education, recruitment of hard to reach groups and increased availability of support services at local projects. However, some state directors feel they lack staff and resources to establish effective cooperation. In addition, since many contacts are informal, they often cease with changes in agency personnel.

To date, states fund most of the applications they receive from agencies wishing to administer local adult education projects. This trend is slowly reversing and is likely to continue given that the 1978 amendments encourage community agencies to seek to operate adult education projects funded under the States-Administered Program. In 1979, 96% of 2,874 applications were funded, a

figure which dropped to 91% of 3,023 in 1980, reflecting possible impacts of this legislation.

States have a high level of contact with local projects, and provide a number of different forms of technical assistance. Project directors feel SEA assistance has been helpful but would like additional aid, especially in the areas of planning and budgeting, staff development, and outreach to and recruitment of participants.

CHAPTER 5

LOCAL PROJECT RESOURCES AND ADMINISTRATION

Local adult education projects are the administrative bridge between the policy and planning dimensions of the program at the state and federal levels and the instruction of eligible adults. All projects receive funds from their state education agency, but they vary widely on factors such as the size of the population served, the scope of the instructional program, the types of auxiliary services offered, and the availability of resources in the community from which they may draw support. This chapter explores the non-instructional characteristics of local projects: their staffing and enrollment, goals and benefits, financial resources and expenditures, interagency planning and coordination, the outreach and recruitment of participants, and barriers to participation.

Information relating to project operations was gathered from local projects in both the mail survey and site visit portions of the study, the latter including a sample of teachers (N=434) and community agencies (N=436). Data from teachers and the mail survey of project directors were weighted to provide nationally representative information.

As described in Chapter 2, the projects included in this study received federal adult education monies in FY 1978 and FY 1979 and served noninstitutionalized adults. There are 2,040 such projects. As shown in Table 5.1 these projects are administered by local education agencies; universities, including four-year institutions and community colleges; Boards of Cooperative Educational Services (BOCES); technical institutes; residential institutions in which not all adult students live at the institution (e.g., prisons, hospitals); and local projects administered by other organizations.

TABLE 5.1

TYPE OF SPONSORING ORGANIZATIONS OF PROJECTS RECEIVING FEDERAL ADULT EDUCATION FUNDS ON FY 1980 AND FY 1979 AND WHICH SERVED NON-INSTITUTIONALIZED ADULTS

	Local Education Agencies	Community Colleges	Technical Institutes	Boards of Cooperative Educational Services	Other Organizations*	TOTAL
Number	1,648	235	62	58	37	2,040
Percent	80.8	11.5	0.3	0.3	0.2	100

*Prisons, Rehabilitation Centers, Community-based Organizations (e.g., Urban League, Community Action Program), and the like.

For analytic purposes, the LEAs were broken at times into three subgroups based on the level of federal funding projects received. This breakdown was made since it was found that the amount of a project's federal grant relates to such other characteristics as the number of project teachers and adult students. LEA-sponsored projects were therefore grouped as follows:

- LEA Hi--grant of $50,000 or more, N=232;
- LEA Medium--grant of $10,000 to 49,999, N=632; and
- LEA Low--grant of $1,500 to 9,999, N=784.

Also, for some analyses the university and technical institute projects were combined into a single group. Both offer post-secondary level education and, in many cases, similar types of educational experiences and opportunities.

A. PROJECT STAFFING AND ENROLLMENT

1. Project Staff

Project directors provided information about the number of teachers, counselors, outreach workers, administrators, and other personnel employed by

their projects. This information, summarized in Table 5.2, shows that there is an overall mean of 24.5 paid full-time or part-time staff members at each project, about 20 of whom are teachers. The size of the project staffs varies considerably. Projects in the LEA-Hi group, for instance have a mean of 71.6 full- and part-time staff members which includes 58.5 teachers and 4.1 administrators. In order of decreasing size, the largest adult education staffs are at projects in the LEA-Hi group, followed by those at universities and technical institutes, BOCES, and medium LEAs. The LEA-Lo and the other groups have an average of slightly over ten full-time and part-time persons on their staffs.

TABLE 5.2

MEAN NUMBER OF FULL-TIME AND PART-TIME PAID STAFF OF LOCAL ADULT EDUCATION PROJECTS, OVERALL AND BY TYPE OF STAFF AND SPONSORING AGENCY

	Overall	Local Education Agencies			Universities and Technical Institutes	Boards of Cooperative Educational Services	Other Organizations
		Hi Grant	Med Grant	Low Grant			
Administrators	1.7 (3.02)*	4.1 (7.44)	1.8 (2.19)	1.0 (0.70)	1.4 (1.12)	1.8 (2.16)	1.4 (1.07)
Teachers	20.0 (54.14)	58.5 (84.23)	18.2 (26.17)	7.8 (11.68)	27.3 (105.23)	23.7 (39.78)	7.3 (9.74)
Counselors	1.0 (1.99)	3.0 (4.53)	.7 (1.11)	.5 (0.72)	.8 (1.34)	2.0 (2.61)	.3 (0.67)
Outreach Workers	.4 (1.10)	.8 (1.41)	.4 (1.07)	.2 (0.58)	.6 (1.54)	.7 (1.84)	.5 (1.13)
Others**	1.4 (5.36)	5.2 (14.24)	1.4 (2.43)	.66 (0.75)	1.1 (3.30)	.7 (1.66)	.5 (1.04)
TOTAL	24.5	71.6	22.5	10.1	31.2	28.8	10.1

*Standard deviation.

**Generally these are classroom aides, secretaries and custodians.

Using the mean number to describe the project staff is somewhat misleading because of the great variance in staff sizes and the presence of some very large projects. For instance, the overall mean for teachers is 20, but the median number of teachers is eight and the mode is two. However, the median number of administrators is 1.1 and the modal number is exactly one. Table 5.3 provides a comparison of the mean, median, and modal number of full- and part-time staff. As shown, the modal project can be described as having one administrator, two teachers, and no counselors, outreach workers or other staff.

TABLE 5.3

COMPARISON OF MEAN, MEDIAN, AND MODE OF THE OVERALL NUMBER OF FULL-TIME AND PART-TIME STAFF OF LOCAL ADULT EDUCATION PROJECTS

Staff	Mean	Median	Mode
Administrators	1.7	1.1	1.0
Teachers	20.0	8.0	2.0
Counselors	1.0	.4	.0
Outreach Workers	.4	.1	.0
Others	1.4	.4	.0

As indicated, not all project staff are full-time. Indeed, responses from project directors indicate that overall, only 41% of them work with their projects on a full-time basis. This percent varies somewhat, though, with the type of agency sponsoring the program. Administrators of LEA-sponsored programs are less likely, while those of non-LEA programs are more likely, to be full-time adult education administrators (39% vs. 48%). Of the teachers, only 22.8% are employed full-time.

Part-time administrators have a variety of other job responsibilities. The administrative responsibilities of the largest proportion of them (75%) include serving as a principal or dean (16%), the director of a community or continuing education program (11%), working with vocational education (10%), or working in some other administrative position. Twenty-nine percent of the part-time administrators are also teachers, with 13% of them instructing adult education participants. Eleven percent of these administrators are also counselors.

2. Project Enrollment Levels

Project directors provided information about enrollment in adult education programs. The analysis of their responses began by examining what proportion of an agency's total adult program is devoted to basic education courses (i.e., ABE, GED preparation, adult high school, and ESL supported through the Adult Education Act) as opposed to general interest or vocational-oriented courses. Data show that across all projects, at least two-thirds of adult participants are enrolled in basic education courses; 58% of LEA-sponsored projects and 51% of other projects reported that at least 90% of their participants are enrolled in ABE, ASE, or ESL courses. Thus, Adult Education Act supported instruction is the predominant activity in most projects, but most projects also serve adults in other educational programs as well.

Enrollment figures furnished by project directors indicate that 817,213 students were enrolled in ABE/ASE/ESL classes during Fall 1979.[1/] Table 5.4 shows how these participants are distributed among ABE, ASE, and ESL courses in relation to type of project sponsoring agency. Figures relating to ABE/ASE/ESL enrollment indicate that overall, 43.7% of participants were in ABE courses, 37.4% in ASE, and 18.9% in ESL.

As also can be seen from Table 5.4, how participants are distributed among projects with different sponsors does vary. For instance, ESL participants make up a larger proportion of enrollments at large LEA projects (those with grants of over $50,000) compared to other projects, and the proportion of ASE enrollment is greatest among LEAs receiving grants of less than $10,000. Further, 81% of

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1/ It should be recalled this represents the study universe; that is, those projects funded in both 1978 and 1979, receiving a grant in 1979 of at least $1,500, and which serve non-institutionalized adults. The total number of participants supported through the Adult Education Act is presumably slightly higher. Also, it should be noted that as used throughout this report the abbreviation ESL incorporates bilingual education, traditional English as a Second Language and all other types of classes intended for those who are not proficient in the English Language.

TABLE 5.4

PERCENT OF LOCAL PROJECT ENROLLMENT IN ABE/ASE/ESL BY PROJECT SPONSORSHIP -- FALL, 1979
N=817,213

	Overall	Local Education Agencies			Universities & Technical Institutes	Boards of Cooperative Educational Services	Other
		Hi	Med	Lo			
Program Type							
ABE	43.7	43.6	44.4	37.0	46.7	54.2	54.2
ASE	37.4	30.6	45.8	52.1	37.7	34.0	34.0
ESL	18.9	25.8	9.8	10.9	15.6	15.9	12.5
	100.0	100.0	100.0	100.0	100.0	100.0	100.0
Percent of Fall, 1979 Enrollment	100.0	49.4	21.2	10.4	14.5	3.5	0.8

participants attended ABE/ASE/ESL classes operated by LEAs and almost 50% were enrolled at LEAs with grants of over $50,000. Universities and technical institutes enrolled most of the other adult education participants (14.5%), with only 4.3% of participants attending classes sponsored by BOCES or other organizations.

In addition to providing the number of participants, project directors estimated the average length of time enrollees participated. The project directors reported that participants enrolled in ABE, ASE and ESL programs the following mean lengths of time: ABE--10.4 months; ASE--6.3 months; and ESL--10.2 months. These figures are consonant with data obtained during site visits of local projects from teachers and project records. These indicated that three-quarters of participants (75.5%) are enrolled in programs for less than a year. In addition, only about one-fifth (21.0%) of all students enrolled for programs in spring 1979 were still enrolled in programs the following fall.

B. PROJECT GOALS AND BENEFITS

Data were gathered from project directors about the goals of their adult education projects. They first rated the importance of the legislative goals of the Adult Education Act. Table 5.5 shows the mean ranking that project directors gave each goal and the percentage of directors rating each goal as highly important. Their responses indicate that each of the Act's four goals are important to local projects, although Goal 2, that of helping undereducated adults increase their ability to benefit from occupational training, is rated as somewhat less important than the others. Each of the goals, however, is rated "Highly Important" by over 50% of directors with Goals 1 and 4 receiving that endorsement by over 80% of them.

TABLE 5.5

THE IMPORTANCE OF ADULT EDUCATION ACT GOALS TO LOCAL PROJECTS

	Mean rating*	Standard deviation	Percent of directors rating goal "highly" important"
1. To enable undereducated adults to become more independent	6.3	1.00	82.3
2. To help undereducated adults to increase their ability to benefit from occupational training	5.5	1.41	54.3
3. To enable undereducated adults to better meet their responsibilities	6.1	.98	73.4
4. To increase opportunities of undereducated adults to gain more productive employment	6.2	.98	80.4

*Ratings were made on a seven point scale where 1=not important and 7=highly important. "Highly important" reflects the percent of directors rating a goal as 6 or 7 on a seven-point scale.

In addition to rating the goals of the Adult Education Act, project directors rated a series of more specific educational, employment and personal goals which ABE/ASE/ESL programs may promote. Directors, as shown by the mean of their responses found in Table 5.6, rated the educational goals as more important than goals in the other two areas. Three of the four most highly rated goals fall in the educational area: obtaining basic knowledge in reading, writing, and mathematics; enabling completion of GED; and increasing competency in English language skills. Personal goals appear from the perspective of project directors to be the next most important group of goals. The goal of enabling socialization and meeting new friends, however, received the lowest ranking among the 11 goals rated by project directors. The two employment-related goals received relatively low rankings from project directors, although over 50% of directors rated both employment goals as "highly important." In addition, project directors rated these two goals as more important than the following: enabling completion of eighth grade equivalency, preparing participants to meet short-term goals, and the socialization goal.

TABLE 5.6

PROJECT DIRECTORS' RATINGS OF ADULT EDUCATION PROGRAM GOALS

Goal	Mean Rating*	Standard Deviation
EDUCATIONAL		
1. Obtain basic knowledge (reading, writing, mathematics)	6.6	.83
2. Enable completion of GED (High School Equivalency)	6.3	1.14
3. Increase competency in English language	6.1	1.37
4. Obtain education necessary for enrolling in other programs, vocational training, etc.	5.8	1.19
5. Enable completion of eighth grade equivalency	5.6	1.34
EMPLOYMENT		
6. Obtain employment	5.7	1.26
7. Obtain better employment, a salary increase, etc.	5.7	1.16
PERSONAL		
8. Increase self-confidence of students	6.1	1.05
9. Increase ability to cope with adult life roles and problems	5.8	1.21
10. Prepare students to meet special short-term goals (e.g., complete job applications or obtain a driver's license)	5.6	1.32
11. Enable socialization among adults and/or facilitate their making new friends	4.8	1.37

*Ratings were made on a seven-point scale where 1=not important and 7=highly important.

As discussed in the previous chapter, state adult education officials also rated the importance of these 11 goals. (See Chapter 4, Section B). Two general comparisons can be made between the responses of state and local administrators. First, the mean ratings of state-level personnel were generally higher than those of the local level. Second, and more importantly, the response pattern of state and local officials is parallel, showing the similarity of their perceptions. Both groups tended to believe educational goals are the most important programmatic emphasis for adult education projects, followed by the "personal" and then the employment goals. Socialization received the lowest priority from both groups.

The perceptions administrators have of the goals of adult education programs are relatively consistent with what teachers and project directors feel participants gain from attending adult education classes. Both project directors and teachers were asked the extent to which they believe their programs contribute to educationally, occupationally, and personally relevant participant gains. Information from teachers and directors, summarized in Table 5.7, shows both groups believe participants are most likely to derive education-related benefits from attending adult education classes. Three of the four gains that received the highest mean rating fall in the education area: achieving educational goals, becoming more interested in learning, and enhancing further educational opportunity. The only gain teachers and project directors believe participants are more likely to achieve than an educational one is an increase in self-concept. Teachers believe students gain more in this area than in any other while project directors rate this as the second most likely area of gain.

TABLE 5.7

RATINGS OF PERCEIVED PARTICIPANT GAINS BY
LOCAL PROJECT DIRECTORS AND TEACHERS

Area of Gain	Mean Teacher Response*	Mean Project Director Response*
Improving self-concept	6.3 (.97)	6.0 (.98)
Becoming more interested in learning	6.0 (1.15)	5.8 (.95)
Achieving educational gains	5.9 (1.23)	6.2 (.87)
Enhancing further educational opportunity	5.9 (1.28)	6.0 (.96)
Making new friends, socializing	5.6 (1.40)	5.0 (1.25)
Helping to get into job training program	5.2 (1.67)	5.1 (1.29)
Helping to find a (new) job	5.1 (1.63)	5.0 (1.17)
Helping cope with personal problems	5.1 (1.33)	5.1 (1.20)
Helping upgrade position, get salary increase	5.0 (1.71)	5.1 (1.16)

*Ratings were made on a seven-point scale where 1=not at all and 7=to a great extent. Standard deviations are listed in parentheses below each mean.

Employment-related gains receive mean ratings which are lower than most other ratings of participant gains. However, the ratings indicate that ABE/ASE/ESL programs are perceived as contributing to these to some extent. The lower ratings of employment gains and goals may be attributable to the fact that such gains are less readily apparent to teachers and administrators. When working with participants in the instructional activities, teachers and local administrators can observe directly those knowledge and skill gains. If a participant finds a job or enters a job training program after taking ABE/ASE/ESL classes, project personnel may know only that the particiant has stopped attending class. As a result, they may not directly know of employment-related gains.

C. FINANCIAL RESOURCES AND EXPENDITURES

1. Level and Source of Funding

In the Local Mail Survey project directors indicated the percentage of their funds coming from various sources. Their responses showed that across all projects, 85.5% of project funding comes from state and federal sources. Although some projects receive 100% of their funding from state and federal government, the mean level of funds from these two sources is relatively constant across types of project sponsors, with means ranging between 82.4% and 91.3%. The remaining project funds come largely from local government, except for agencies in the "Other" sponsors category. These projects derive an average 9.8% of their funds from nongovernmental sources, largely donations from the United Way, individuals, foundations, and local industries.

Projects received their state and federal funds from several programs. The largest source of support (81.2%) is grants through the states under the Adult Education Act. According to the most current information available, the size of FY 1979 grants made by SEAs to local projects ranged from $42 to $3.21

million.[2/] These data show that 4.1% of the local projects received grants of less than $1,500, that 69% received less than $25,000 per year, and that only 17% of the projects received grants of over $50,000.

Data were also gathered about the other sources from which local projects obtain funding. These data show 9% of the projects receive funds averaging 22% of their project budgets from the Comprehensive Employment and Training Program (CETA). The percent of projects receiving CETA funds varies widely in relationship to type of project sponsor. Only 1% of LEA projects receive CETA funds, but CETA provides funding for 8% of medium-sized LEA projects, 18% of the largest LEA projects, 21% of BOCES projects, 23% of projects at universities and technical institutes, and 35% of the projects sponsored by other agencies.

The Title XX program of the Social Security Act also provides substantial support to adult education projects. Although contributing to only about 5% of the local projects, it contributes a mean of 20% of the budget of those it does support. In addition to CETA and Title XX, the Work Incentive Program (WIN), the Indochina Refugee Act, the Bureau of Indian Affairs, and several other programs administered by the Department of Education contribute to a relatively small number of projects. Although a major element in a few cases, overall, these other programs account for a small proportion of local project funds.

2. Allocation of Funds Among ABE, ASE, and ESL

Each project director also indicated what proportion of the project's total adult education funds go to its ABE, ASE, and ESL programs. Data presented in Table 5.8 show how funds are apportioned across all projects and across only those projects having an ABE, ASE, or ESL component. Overall, projects allocate 51.4% of their funds to ABE, 27.7% to ASE, 8.6% to ESL, and 11.8% to other adult education courses. The latter group includes general interest and work-related courses. Because these figures are averaged across some projects which do not have an ABE, ASE, or ESL component, each was recomputed to reflect only projects with enrollments in these areas. The recomputation increased the average amount of project funds allocated to ASE and ESL by about 8%. The ABE figure changed

[2/] Analysis of Reports submitted during the spring and summer of 1979 to USOE by the states in accordance with Section 437 of the General Education Provisions Act.

negligibly since all but 4% of projects have an ABE program. In contrast, 22% of projects do not have a specific ASE component and 48% do not have one for ESL.

TABLE 5.8

ALLOCATION OF LOCAL PROJECT BUDGETS AMONG THE ABE, ASE, AND ESL PROGRAM COMPONENTS (In Percents)

	Across All Projects	Across Projects with this Component
ABE	51.4	52.6
ASE	27.7	35.0
ESL	8.6	16.6
Other	11.9	Not Applicable

*These percents pertain to state, federal and other funds; not only to those available through the Adult Education Act.

D. SUPPORTIVE SERVICES

In addition to providing education, some ABE/ASE/ESL projects offer other services which supplement their adult classes and enhance the opportunities adults have to participate. These services include child care, transportation to class sites, job placement assistance, personal counseling, medical and health consultation, and social activities. The 1978 legislation reflects the importance of this area of program operations, especially the presumed importance of providing transportation and child care.

The Project Director Mail Questionnaire obtained information about the availability of supplementary services at projects. Overall, as shown in Table 5.9, the most readily available services are personal counseling (at 72% of projects), job placement assistance (at 62%), and social activities (48%). Child care, transportation and medical/health-related services are not available at approximately 75% of projects.

TABLE 5.9

PERCENT OF LOCAL ADULT EDUCATION PROJECTS IN WHICH SUPPORT SERVICES ARE AVAILABLE

Service	Not available	Available at some project sites	Available at all project sites
Child care	78	18	4
Transportation	72	24	4
Social Activities	52	32	16
Job Placement Assistance	38	43	19
Personal Counselors	27	34	38
Medical/Health Consultation	73	18	9

The type of sponsoring agency is strongly associated with the availability of these services. Services are more readily available at non-LEA projects regardless of the type of service. The size of the LEA also is of influence. Generally, LEAs receiving larger grants are more likely to have services than LEAs with smaller grants. The sole exception to this relates to medical/health consultation which is available at more LEAs receiving less than $10,000.

The approximate percentage of participants making use of available services was also reported by the project directors. The most utilized service was personal counseling which directors reported about 75% of participants use when available. Other services are not as widely used. Over 50% of directors indicated that 35% or fewer of their participants used the other services when they were offered. Without more comprehensive information on services and their use, however, it is difficult to determine why services appear to be used by so few adults. For instance, a service may appear to be underutilized because it is available to only a subgroup of participants or it may be so poorly publicized they are unaware of it.

To gain additional insight into the importance of these supportive services a stepwise multiple regression analysis was conducted to examine whether the availability of support services at a project was associated with the average length of time (in months) that participants are in ABE, ASE, and ESL programs, as reported by project directors. Results from this analysis showed no relationship between these services and time in the program. It was initially presumed that the availability of services would be positively related to retaining participants in the program, but in retrospect this finding is not surprising given the low level of utilization many of these services receive.

Data from project directors about the availability and use of support services are complemented by teachers' perceptions of these services. Teachers were asked to rank the importance of including various services in ABE/ASE/ESL programs. The mean ranking each service received is presented in Table 5.10. Job placement assistance and personal counselors, the two services most readily available at projects, were seen by teachers as the two most important services projects can provide. Next in importance, teachers ranked transportation and child care services, currently the two services least available at project sites. Medical/health consultation and social activities were the two services teachers felt were of lowest importance, even though project directors indicated social activities are relatively available.

TABLE 5.10

TEACHERS' RANKINGS OF THE IMPORTANCE OF SUPPORT SERVICES

Service	Mean Ranking of Importance*	Standard Deviation
Job Placement Assistance	2.5	1.33
Personal Counseling	2.8	1.52
Transportation	3.1	1.72
Child Care	3.5	1.64
Medical/Health Consultation	4.4	1.42
Social Activities	4.9	1.34

*1=Most important.

E. PROJECT PLANNING AND COORDINATION

1. Impact of State Adult Education Plans

The 1978 amendments to the Adult Education Act called for increased coordination of state and local program activities with representatives from business and labor unions, churches, state and local education and training agencies, community organizations, and adult populations. Table 5.11 summarizes local project directors' indications of the extent to which various factors influence local project priorities. Directors indicated that the desires of participants, the State Adult Education Plan, the characteristics of the general population, and the GED examination influence project priorities to a greater extent than the other factors presented. Least important influences on local projects are other programs in the community and local advisory committees, but these do, however, play some role. Relatively few project directors indicated that other programs and advisory committees had little or no influence on their projects (21% and 28%, respectively). These data suggest directors want their projects to be consistent with state guidelines but still to be responsive to student and other local needs and desires.

TABLE 5.11

LOCAL PROJECT DIRECTORS' RATINGS OF FACTORS INFLUENCING PROJECT PRIORITIES

Factor	Mean Rating*	Standard Deviation
Desires of Participants	6.0	1.03
State Adult Education Plan	5.8	1.36
General Population Characteristics	5.7	1.24
GED Examination	5.5	1.64
Relations with School System	5.0	1.73
Employees	4.4	1.66
Other Programs in Community	4.1	1.77
Local Advisory Committee	4.0	1.99

*Ratings are made on a seven-point scale where 1=not at all and 7=a great deal.

Project directors also were asked to indicate the degree to which they are familiar with their states' Adult Education state plans. A large majority of the directors indicated that they were at least somewhat familiar with the plan. This group included directors from 85% of LEA-sponsored projects and 88% of directors from non-LEA projects.

To examine how the state plans have influenced local projects, each of the directors who were at least somewhat familiar with their own state's plan was asked to indicate the ways in which the state plan had influenced policy decisions at their project in the previous year. As may be seen in Table 5.12, over 50% of directors indicated their state plan had influenced how target populations were defined and the relative emphasis placed on various instructional areas. Thirty-eight to 40% of directors indicated state plans had affected policies relating to collaboration with community groups and organizations, strategies used to develop support in the community for the local project, and participant recruitment strategies. State plans were least likely to change policies related to the criteria used for staff selection and the location of classes.

TABLE 5.12

LOCAL PROJECT DIRECTOR REPORTS OF WAYS STATE PLANS INFLUENCED LOCAL PROJECTS DURING THE PAST YEAR

Area of Influence	Percent of Directors Indicating Influence*
Definition of target population	67
Relative influence on various instructional areas	56
Collaboration with community groups and organizations	40
Strategies for obtaining community support	40
Participant recruitment strategies	38
Criteria for staff selection	29
Centralization/decentralization of classes	23
No influence of state plan	5

*Total exceeds 100% due to multiple response.

2. Local Planning and Collaboration

Because of the importance the 1978 amendments to the Adult Education Act placed on coordination with community groups and agencies, data were gathered relating to the ways in which local projects work with local organizations. These data were obtained from the project directors and from a sample of community agency personnel during the site visit phase of the study. The community agencies were ones that project directors indicated they currently worked with or would like to work with in the future.

Project Director Views

The mail survey explored with project directors the results of coordinating activities with community groups and agencies. As summarized in Table 5.13, the directors indicated that participant recruitment was facilitated, public awareness of projects increased, and directors received more feedback about their projects. At the same time, directors felt that neither administrative autonomy nor program flexibility were decreased although some directors believed there was an increase in administrative trivia.

Using the items presented in Table 5.13, composite indices of positive and of negative outcomes were constructed. The latter included: administrative autonomy decreased, administrative trivia increased, and program flexibility decreased. Using the two indices, both the total number of positive and negative outcomes of collaborating with community groups and agencies reported by each project director was determined. The mean number of positive outcomes directors reported was 3.8 of eight possible positive outcomes, (mode=5) while the mean number of reported negative outcomes was 0.38 of three possible items (mode=0). Thus, project directors were quite positive about the net effects of interagency coordination.

TABLE 5.13

PROJECT DIRECTOR PERCEPTIONS OF OUTCOMES RESULTING FROM COORDINATION WITH OTHER AGENCIES AND ORGANIZATIONS

Outcome	Percent of Directors Reporting Outcome*
Participant recruitment facilitated	80.6
Public awareness of AE program increased	77.6
Increased community support for AE	60.4
Increased feedback about program observed	50.4
Increased extension of AE to hard-to-reach groups	46.2
Additional operating funds obtained	26.0
Increased support services	25.2
Administrative trivia increased	23.7
Administrative autonomy decreased	8.8
Decrease in cost/instructional hour	7.9
Program flexibility decreased	5.2

*Total exceeds 100% due to multiple response.

Overall, project directors felt that adult education was extended to hard-to-reach populations due to collaboration with local agencies, although more directors of non-LEA sponsored projects felt this way than did directors of LEA projects (57% versus 44%). There were, however, large differences among LEAs on this point. Directors of LEA projects receiving large grants (66%) and

medium-sized grants (53%) believed this was a more likely outcome than those of LEAs receiving small grants (30%). These differences are probably related to the size and homogeneity of the areas projects served. In urban areas where LEAs receiving large grants generally are located, the population is diverse. By contacting agencies and groups which work with hard-to-reach populations, projects can increase their penetration into the community.

The mail survey asked project directors to indicate the ways in which various community groups and agencies had been involved with their projects. Their responses are summarized in Table 5.14. Overall, 99% of project directors indicated agencies, groups, and organizations operating in their communities were involved with their projects in some significant way. As one would expect, however, the extent to which various types of agencies are involved varies.

Local school districts, for example, tend to be extensively involved with adult education projects. Ninety percent of the project directors indicated local school districts were involved with their projects in some manner. This included 69% of the directors of non-LEA sponsored projects. Other agencies which were most heavily involved with local projects include state and local employment and training agencies, other types of state and local agencies, representatives of special adult populations, and churches and other parochial groups. Types of agencies which were not involved in over half of the local projects are: community college, area vocational and vocational/technical schools, anti-poverty programs, and business groups or labor organizations.

There are differences, however, between LEA and non-LEA sponsored projects in their collaboration with other organizations. Community colleges, anti-poverty programs, representatives of special adult populations, and state and local employment and training agencies are more likely to be involved with non-LEA sponsored projects than with those sponsored by LEAs.

TABLE 5.14

PERCENT OF LOCAL ADULT EDUCATION PROJECTS INVOLVED WITH OTHER GROUPS AND ORGANIZATIONS BY TYPE OF ORGANIZATION AND AREA OF INVOLVEMENT

ORGANIZATION/GROUP	AREAS OF INVOLVEMENT				
	Not Significantly Involved	Involved in Planning	Involved in Recruiting/ Referring Students	Involved in Implementation/ Operations	Shares/Provides Funding Space Equipment
Local school districts	10	48	50	53	72
State and local employment and training agencies	26	24	63	10	10
Other state and local agencies	34	29	47	14	17
Representatives of special adult populations	38	32	45	10	7
Churches and other parochial groups	41	12	47	5	16
Fraternal, voluntary or community organizations	50	15	40	6	9
Business or labor unions	52	18	39	5	6
Anti-poverty programs (CAAs, etc.)	53	12	41	5	8
Area vocational/technical schools	55	17	32	15	22
Community colleges	67	15	19	11	14
No agencies or organizations involved in area	1	25	13	30	16

Directors also reported that agencies were likely to be involved with their adult education projects in differing ways. Overall, organizations are more likely to be involved in recruiting or referring participants than any other area. Their relatively extensive involvement in this area helps explain why the directors believe coordination with agencies has facilitated recruitment. In addition to recruitment, local organizations also provide assistance in planning programs, and supply space for classes, funding, and equipment.

To investigate whether collaboration with certain types of agencies is more strongly associated with project directors' perceptions of positive outcomes than with others, a stepwise multiple regression analysis was performed using a set of composite scores.[3/] This identified three types of agencies as most strongly associated with positive outcomes of interagency collaboration. These are groups representing special adult populations, anti-poverty programs, and area vocational-technical schools.[4/]

Views from Other Agencies

A sample of local community agencies (nominated by project directors) was contacted during the site visit portion of this study to elicit information about the adult education program and their involvement in it. The sample included a total of 436 agency personnel. A breakdown of the affiliations of these individuals is provided in Table 5.15.

When contacted for an interview, representatives were asked about their involvement with the local adult education project. Most of them (94%) had contacts with the project in the past year. Of these agencies, 76% characterized the extent of their involvement as either moderate (49%) or extensive (27%). Nearly two-thirds of these contacts were as representatives of their agency, and

3/For each area of involvement listed in Table 5.14 the agency type received one point; thus, an agency could receive a maximum score of 4 if involved in all areas.

4/Combined, they account for 28.5% of the variance in the number of positive outcomes directors reported.

TABLE 5.15

AFFILIATION OF SAMPLED AGENCY/ORGANIZATION PERSONNEL INTERVIEWED DURING ONSITE VISITS TO LOCAL PROJECTS

Agency Affiliation	Percent of Sample
Social Services Department/Welfare Department/ Mental Health Agency/Vocational Rehabilitation	19.8
Employment Security, Job Service	14.3
Community Group/Citizens/Parents	8.0
School/School District/College	7.4
CETA	6.7
Minority Advocacy Group (NAACP, RAZA, Indian Group	6.2
Department of Corrections/Jail/Sheriff's Office, Courthouse	5.3
Anti-poverty Agency (CAA/CAP)	5.3
Church/Minister/Religious Service Agency	5.3
Agency on Aging	2.8
Hospital/Mental Hospital	2.5
Business/Industry	1.6
Library	1.1
Agricultural Extension	*
Military Installation	*
Labor Union	*
Literacy Volunteers/Council	*
Alcohol or Drug Abuse Agency	*
Other	10.6

*Less than 1% of sample.

18% indicated they were members of a project advisory council. Three percent were volunteer members of the project staff. Thus, these representatives were knowledgeable sources of information about the projects.

The services these representatives provided are shown below in Table 5.16. The majority of them (85%) helped recruit or refer individuals to the adult education project. The proportion of representatives involved in this way far exceeds the next most frequently mentioned service, the provision of space or physical facilities. Only 16% of the sampled representatives indicated involvement in project planning. This is somewhat lower than one might expect given the responses of project directors about the involvement of community groups and organizations.

TABLE 5.16

SERVICES PROVIDED TO LOCAL ADULT EDUCATION PROJECTS BY THE SURVEYED AGENCIES OR GROUPS

Service	Percent of Sample*
Recruiting/referring participants	85
Providing space/physical facilities	27
Stimulating public support	18
Participating in overall planning	16
Providing/sharing support services	15
Providing material/equipment	10
Providing funds	8

*Total exceeds 100% due to multiple responses.

The representatives were also asked about the degree of collaboration between community groups and the local project. One-third of those interviewed indicated that a moderate amount of collaboration occurs between adult education projects and community agencies while an additional 48% reported that a great deal of collaboration exists. They were also asked whether they were aware of specific programmatic changes in the local project due to interactions with community groups or organizations, and 45% of them responded that they were. However, the

representatives' responses varied significantly[5/] in relation to whether the project was sponsored by an LEA receiving a large, medium or small grant or some other agency. Fifty-seven percent of the representatives associated with LEAs receiving over $50,000, 50% of those associated with LEAs receiving $10,000 to $49,999, 43% of those associated with projects sponsored by non-LEAs, and 34% of personnel associated with LEAs receiving $1,500 to $9,999 indicated an awareness of some change. Of those indicating an awareness of specific changes, 77% said they believed the local projects were highly responsive to the expressed needs and desires of the community.

The agency representatives also were asked to assess the overall value of adult education projects operating in their local communities. Agency personnel gave a strong endorsement. Sixty-two percent of them said the projects were very valuable, while an additional 23% felt the projects were of moderate worth. Less than 2% believed the projects have no value at all. Among the reasons offered to support their overall assessments, the most frequent were:

- The project provides a good service or meets participants' needs (43% so responding);
- The project provides participants with educational benefits and enables some to receive further training (20%); and
- Participants derive employment-related economic benefits due to the project (9%).

About 9% of agency personnel also mentioned that projects need to expand, need to add more classes, need more money, or need more teachers.

5/ $\chi^2=49.28$, df=3.

F. PROJECT OUTREACH AND BARRIERS TO PARTICIPATION

An important responsibility of local project staff and an issue addressed by the House Report accompanying the 1978 legislation is the recruitment of adults most in need of adult education. Regardless of the definition or the criteria used, it is widely acknowledged that a discrepancy exists between the targeted recipients of the program and those it actually serves.

Overall, project directors estimated that only 16% of the adults in their service areas who are disadvantaged due to an inadequate basic education and who would benefit from an adult education program are enrolled in their programs, and only 7% participate in some other educational program. Seventy-five percent of those in need do not participate in any educational program at all.

Community agency personnel also indicated the need for adult education programs is high. When asked for the percent of educationally disadvantaged adults whom they serve that participate in educational programs, agency personnel responded as follows: an average of 21% are enrolled in local adult education projects; 27% participate in some other educational program (e.g., CETA, community college, etc.); and 52% are not in any educational program. Given these estimates of unmet need, the need for vigorous and comprehensive outreach and recruitment efforts should be clear.

1. Barriers to Participation

A key to developing effective outreach strategies for adult education projects is information on the obstacles that interfere with actual participation in the projects. If a project knows certain factors impede participation, it may be able to remove them or lessen the severity of their impact.

Local project directors and the representatives of community groups and agencies were both asked whether there are major factors which prevent adults from participating in local adult education projects. Their responses indicate

that about 30% of both groups believe there are no barriers which prevent adults from attending. This means, however, that 70% of the respondents feel such barriers do exist.

The project directors and agency personnel who perceive barriers to participation were asked what these barriers are. As may be seen in Table 5.17, individuals in both these groups felt that the lack of transportation and child care services are the largest barriers to adult attendance. This pattern is consistent across both LEA and non-LEA sponsored projects and with results reported in previous studies of adult education.[6/]

TABLE 5.17
PERCEIVED BARRIERS TO PARTICIPATION IN ADULT EDUCATION PROJECTS REPORTED BY LOCAL PROJECT DIRECTORS AND REPRESENTATIVES OF COMMUNITY AGENCIES

Barrier to Participation	Project Directors	Agency Personnel
Lack of access to transportation	56.0%	45.6%
Lack of child care and other supportive services	43.8	23.0
Child care responsibilities	33.3	26.5
Employment which conflicts with program attendance	28.0	17.6
Inability to read or write English fluently	15.3	8.0
Lack of study skills, having to do homework	13.6	4.3
Mobility, frequent changes of address	13.2	2.9
Lack of motivation	6.0	13.8
Too far to travel	12.1	11.5
Lack of awareness of program	*	11.4
Costs associated with attending (books, transportation)	*	10.5

*Less than one percent.

6/University of State of New York, New York State Continuing Education Needs Assessment. Albany. University of State of New York, Division of Continuing Education, January 1977, and National Advisory Council on Adult Education. A Target Population in Adult Education. Washington, D.C., Government Printing Office, 1974.

The next most frequently mentioned barrier results from conflicts between class attendance and employment responsibilities. The actual manifestation of this barrier takes several forms. Some adults cannot attend because classes are held during their work hours or the hours during which they seek employment. Other individuals who become employed stop attending classes because the jobs they take conflict with class schedules.

Other barriers cited by directors and community agency personnel suggest some role-related differences in these perspectives of the projects. The views of directors are shaped by their roles as educators while those of agency personnel grow out of their work with individual clients. Thus, project directors may perceive barriers related to a participant's educational background as reflected by the lack of study skills or an inability to read or write English fluently. In contrast, agency personnel may perceive barriers associated with a student's lack of motivation to attend classes.

By understanding the factors that block attendance one may gain the ability to raise recruitment/retention rates. Data on the perceived barriers to participation support, for example, the focus on child care and transportation services contained in the 1978 legislation. However, data obtained from project directors on the use of services and on their relationship to the time a participant stays in the program suggest the lack of child care and transportation services may not be as large a problem as it is perceived. Child care services, when available, are used by only a small proportion of participants. Even when it is offered at all class sites (4% of all projects), directors indicated that 25% of participants or fewer actually use this service.

It is difficult to gauge the meaning of these data. Does this mean the actual need for child care is less than the perceptions of agency personnel and project directors indicate? Child care may not be needed by a much greater proportion of participants; only 20% of the participants interviewed in this study indicated that they had preschool children (see Chapter 8), and parents with preschool children are presumably the ones most likely to want child care services. Judging the need for child care from the use of the service, though, provides no information about how many prospective participants are unable to

enroll in adult education projects because they need child care services which are not available.

The same may be said about the importance of transportation services, except that data on their use show they are used to a greater degree. Fifty-nine percent of directors at projects with transportation available at all sites indicated that over 50% of their participants utilize this service. Thus, it appears that it must be seriously considered in designing an effective outreach and recruitment program.

2. Outreach Techniques

Information about current outreach practices and recruitment techniques found to be particularly effective were provided by project directors through the mail questionnaire. Table 5.18 summarizes the extent to which various techniques are used by local projects. The most widely used recruitment devices according to mail questionnaire responses are fliers, posters, mailings, and announcements in the mass media; these are used to a great extent by at least 50% of all projects.[7/] Referrals from community agencies and groups are also utilized extensively by 40% of projects as are recommendations from current adult education participants. Only 6% to 8% of the projects indicated they did not use any of these four techniques. In contrast, at least 41% of projects do not have staff members specifically assigned to recruiting nor use local residents to help recruit.

Data show that significant differences exist in the outreach strategies used by LEA- and non-LEA-sponsored projects. LEA projects make greater use of fliers, posters, mailings, and the mass media to publicize their projects, while non-LEA projects are more likely to receive participant referrals from community agencies, groups and co-sponsoring programs. These differences support the finding that non-LEA-sponsored projects appear more oriented toward working with other groups in the community than LEAs.

7/This is consistent with the System Development Corporation's finding (A Longitudinal Evaluation of the Adult Basic Education Program. November 1973) that the most widely used method to recruit potential enrollees was the print media - specifically newspapers.

The effect of collaborating with local agencies is shown by the responses obtained from project directors about the impact of coordinating adult education activities with commuity agencies. A greater percentage of non-LEA directors (57%) compared to LEA directors (44%) indicated that adult education was extended to hard-to-reach populations as a result of coordination with community agencies. These data suggest that by working with community groups, adult education projects will increase the degree to which they reach the "least educated and most in need."

Also examined were the recruitment strategies used by projects to attract specific sub-populations (e.g. elderly, handicapped, minorities, etc.). Directors were asked which strategies shown in Table 5.18 were most effective for recruiting these special groups. Their responses largely parallel the response patterns presented in that table about general recruitment practices. Directors perceived the mass media, referrals from community agencies and current participants, and fliers, posters and mailings as the most effective ways to attract most special target populations. Recruitment through co-sponsoring groups was also seen as an effective strategy when working with the elderly and when recruiting institutionalized adults. It is worth noting, however, that each of the strategies shown in Table 5.18 was nominated by at least one director as the best recruitment approach for each group. Thus, there may be situations where each strategy is helpful, and the effectiveness of any particular strategy may depend on unique project circumstances.

TABLE 5.18

EXTENT VARIOUS OUTREACH/RECRUITMENT TECHNIQUES ARE USED BY LOCAL ADULT EDUCATION PROJECTS

Technique	Extent of Use *
Fliers, posters, mailings	5.6 (1.64)
Announcements in mass media	5.3 (1.69)
Recommendations by current students	5.2 (1.53)
Referrals from agencies or community programs	4.9 (1.56)
Contacts with supervisors or counselors	4.5 (1.48)
Recruitment by co-sponsoring groups	3.7 (1.89)
Organized recruitment by current students	3.6 (1.91)
Staff member assigned to recruitment	3.4 (2.19)
Local residents used as recruitment aides	2.9 (1.78)

*Mean response across all project directors completing Mail Questionnaire. Ratings were on a scale where 1=none at all and 7=a great deal. Standard deviations are below each mean in parentheses.

Information about outreach strategies was also obtained during interviews with local project directors and provides some additional insight. Generally, these data are consistent with that from the mail survey already reported. Television, radio, and newspaper advertisements, contacts with community agencies, and fliers were reported to be effective outreach approaches. Project directors also felt information about adult education classes spread by "word of mouth" was as effective a strategy as any other, a finding consistent with those

from an earlier study.[8/] Friends, co-workers, or other students provide the supportive conditions of confidence and trust such persons need before making a commitment to enroll in a course.

G. SUMMARY

This chapter has examined areas relating to the non-instructional characteristics of adult education projects, including collaboration with community agencies, perceived barriers to participation and effective outreach/recruitment strategies. Project directors indicated that approximately 817,213 students were enrolled in ABE/ASE/ESL classes during fall 1979 at projects which both received federal adult education monies in FY 1978 and FY 1979 and served non-institutionalized adults. Of these students about 44% attended adult basic education classes, 37% attended adult secondary education classes, and 19% attended classes in English as a Second Language.

About 50% of the students enrolled at projects sponsored by the 17% of local agencies which received adult education grants of over $50,000 per year, four percent of the local projects received grants of less than $1,500 per year and 69% received $25,000 or less per year.

Typically, adult education projects were supervised by one administrator, only about 41% of whom work with these projects on a full-time basis. Projects also were staffed by a median number of eight teachers, 77.2% of whom worked in the project part-time. Most often they had no other staff.

8/ Mezirow, G., Darkenwald, A., Knox. Last Gamble on Education. Washington, D.C., Adult Educational Association of the USA, 1975, p.47.

Ratings of the goals of adult education projects by state and local administrators as well as teachers were quite consistent. They believed education-related goals and benefits are relatively more important in local adult education projects than employment-related ones. They also felt participants are most likely to experience gains in education-related areas and in self-confidence as a result of attending ABE/ASE/ESL classes.

There is a generally high level of collaboration between adult education projects and community groups and agencies with almost all project directors reporting collaboration in at least some area. Community agencies were most likely to be involved in recruiting/referring students and sharing/providing funding, space, or equipment.

Project directors believed working with these agencies has had positive outcomes for adult education projects. These positive results include student recruitment and increasing both community awareness of projects and feedback about them. For their part, over 80% of agency personnel who had contact with local projects believed that: (1) at least a moderate amount of collaboration occurred between adult education projects and community agencies and (2) local projects have been of at least moderate and generally great value to their communities.

Project directors indicated several outreach/recruitment techniques have been effective in drawing adults to their projects. These techniques include: fliers, posters, mailings, and announcements in the mass media; referrals from other agencies; recommendations from other participants; and information about projects spread by word-of-mouth. These techniques were likely to be used to attract adults in the general population as well as members of special target groups.

The effectiveness of outreach strategies is likely to be limited as long as principal barriers to participation at adult education projects remain. Both project directors and agency personnel believe the lack of child care and transportation services are the largest barriers preventing adults from

participating in adult education activities. These two services were available at only 25% of local projects and could have been used far more extensively by participants at these projects than they were.

CHAPTER 6

INSTRUCTION AT ADULT EDUCATION PROJECTS

The instruction received by participants in adult education projects is considered to be the major factor influencing what participants gain from the program. Therefore, it is important to examine factors which influence the instruction participants receive. These factors include the characteristics of adult education teachers, what they teach, the teaching strategies and emphases they use, and the setting where instruction is conducted.

Information relating to these factors was obtained from two independent samples of respondents: project directors completing the local mail survey and teachers contacted during site visits at local projects. Data from these administrators and teachers were projected to provide national estimates and analyzed to develop a general description of instruction at projects and to allow comparisons among projects and staff of various kinds.

A. INSTRUCTIONAL STAFF

1. Teachers and Their Characteristics

Information provided by project directors and teachers show that an estimated total of 40,630 instructors teach adult education. Of these, 58.7% teach either ABE or a combination of ABE and ASE, 10.7% teach only ASE, and 28.3% teach ESL, either alone or in combination with ABE or ASE.

As discussed in the previous chapter, the median number of teachers per project is eight, with the number per project depending on the project's type of sponsoring agency and size. Projects sponsored by LEAs receiving over $50,000 in federal adult education funds (LEA-Hi projects), for instance, have more full-time and part-time adult education teachers than other projects, about

one-third of all the teachers in the program. As might be expected, the data show that the number of teachers per project varies with the amount of Adult Education Act monies that projects receive.

Table 6.1 presents participant to teacher ratios for each type of project sponsor. The highest ratio among adult education projects is that for LEA-Hi projects where nearly 50% of adult education participants are enrolled; the ratio there is 29.75 participants per teacher. For other LEAs, the participant-teacher ratio is 14.78, about one-half the LEA-Hi ratio. Both BOCES and other projects have slightly fewer participants per teacher than the LEA-Hi projects, while the ratio for universities and technical institutes is about equal to that of LEAs which receive between $10,000 and $49,999 (LEA-Medium projects) and between $1,500 and $9,999 (LEA-Lo projects).

TABLE 6.1

FALL 1979 PARTICIPANT-TEACHER RATIO PER LOCAL PROJECT
(Full-time and Part-time)

Sponsor	Participant/Teacher Ratio*
LEA-Hi (federal funding of over $50,000	29.75
LEA-Medium (federal funding of $10,000-$49,999)	15.31
LEA-Lo (federal funding of $1,500-$9,999)	13.80
Universities and Technical Institutes	14.98
BOCES	21.45
Other agencies	25.73
Overall	20.11

*Estimated enrollment per type of sponsor/estimated total teachers per type of sponsor.

Information about the characteristics of adult education teachers and their involvement in ABE/ASE/ESL programs obtained from the Project Director Mail and the Teacher questionnaires is summarized in Table 6.2. These data show that overall, 63.2% of instructors are female, 77.2% teach on a part-time basis, 62.8% have taught adult education for three or more years, 42.8% teach in the program 10 to 12 months a year, and 76.1% teach in the evening.

TABLE 6.2

TEACHER CHARACTERISTICS OVERALL AND BY LEA AND NON-LEA SPONSORSHIP
(Percent of Teachers)

	Project Sponsor		
	Overall	LEA	Non-LEA
Sex			
Male	36.8	38.6	33.1
Female	63.2	61.4	66.9
Terms of Employment			
Full-time	22.8	18.2	37.7
Part-time	77.2	81.8	62.3
Experience Teaching Adult Education			
0-1 year	9.0	6.7	14.4
1-3 years	28.2	31.6	19.8
Over 3 years	62.8	61.7	65.8
Months Teach in Project			
10-12 months	42.8	37.5	60.2
6-9 months	49.7	55.8	29.9
Less than 6 months	7.4	6.7	10.0
Time of Day Classes Meet			
Day	23.9	20.1	36.6
Evening	63.8	68.1	49.7
Both	12.3	11.8	13.7
Type of Facility Where Classes Meet			
Elementary/Secondary School	21.4	21.6	20.4
Some Other Type of facility	58.2	56.0	68.1
Both	20.5	22.4	11.5

There are differences among teachers, however, as a function of whether they: (1) are ABE, ASE, or ESL instructors and (2) are employed by an LEA sponsored or non-LEA sponsored project. Comparing teachers at LEA-sponsored projects to other teachers, one finds that teachers at LEA projects are more likely: (1) to work part-time; (2) to teach between 6 and 9 months a year rather than 10 to 12 months; (3) to teach evening rather than day courses; and (4) to conduct classes in elementary and secondary schools as opposed to some other location. LEA-Hi projects, though, differ characteristically from LEA-Medium and LEA-Lo projects. LEA-Hi teachers, for instance, are more likely to be employed full-time (30% as opposed to 6% and 10.5% of teachers), teach 10 to 12 months a year (60% versus 16% and 22%) have only day classes (31% versus 8% and 12%) and teach in non-elementary and secondary school settings (48.5% compared to 14.5% and 23%).

Characteristics which distinguish ABE, ASE, and ESL teachers are presented in Table 6.3. ESL teachers are more likely to be female, work full-time, use classroom instruction assisted by aides or volunteers, and hold special certification in adult education and are less likely to teach adult education classes which meet in elementary and secondary schools. ASE teachers, in contrast, are most likely to be males, work part-time, have less than three years experience as adult education teachers, and teach classes meeting in elementary or secondary schools, and are least likely to be assisted by aides or volunteers.

To investigate these differences further, a discriminant function analysis was performed. The analysis was designed to highlight the most salient variables distinguishing ABE, ASE, and ESL teachers. Of eight variables considered, four were found to effectively differentiate among teachers. These are: mode of instruction (e.g., individualized vs. group); sex; use of aides; and certification in adult education. The overall classification accuracy of these variables in distinguishing these groups was 51.9%. The discriminant function coefficients for the first (statistically significant) dimension are presented in Table 6.4. As is apparent, the most important are mode of instruction, sex, and use of aides.

TABLE 6.3

TEACHER CHARACTERISTICS BY ABE, ASE, AND ESL PROGRAMS
(Percent of Teachers)

	Type of Program		
	ABE	ASE	ESL
SEX			
Male	40.3	57.2	21.0
Female	59.7	42.8	79.0
Terms of Employment			
Full-time	14.0	16.9	20.4
Part-time	86.0	83.1	79.6
Experience Teaching Adult Education			
0-1 year	8.1	14.7	8.4
1-3 years	29.1	36.7	24.7
Over 3 years	62.8	48.6	66.9
Type of Facility Where Classes Meet			
Elementary/Secondary School	42.7	59.8	33.1
Adult Learning Center	19.2	32.3	32.4
Other	38.1	7.9	34.5
Mode of Instruction			
Individualized	56.8	52.0	29.9
Self-study or small group	28.4	15.7	16.4
Classroom	14.8	32.3	53.8
Assisted by Aides or Volunteers			
Yes	31.6	17.9	43.0
No	68.4	82.1	57.0
Certified in Adult Education			
Yes	25.6	20.7	47.3
No	74.4	79.3	52.7

TABLE 6.4

DISCRIMINANT FUNCTION COEFFICIENTS DISTINGUISHING ABE/ASE/ESL TEACHERS

Characteristic	Standardized Canonical Discriminant Function Coefficient
Mode of Instruction	-0.708
Teacher's Sex	-0.545
Use of Aides	-0.408
Certification in Adult Education	-0.351

*Other variables considered were: terms of employment; type of facility; prior coursework in adult education; and experience teaching adult education.

2. Additional Teacher Responsibilities

By definition, adult education teachers have instructional responsibilities; however, many perform other tasks as well. Teachers surveyed during site visits to local projects indicated that in addition to teaching they:

- counsel participants (57.1%);
- help recruit participants (50.2%);
- develop adult education curricula (45.7%);
- help evaluate their projects (36.7%);
- conduct inservice teacher training (22.7%); and
- provide vocational counseling for participants (22.0%).

There are few differences among ABE, ASE, and ESL teachers related to additional tasks they perform. ESL instructors, though, are less likely to recruit participants but more likely to counsel them than their ABE and ASE counterparts.

3. Aides and Volunteers

Data gathered from all teachers indicate that 34% of them have aides or volunteers helping with their ABE/ASE/ESL courses. Aides are most likely to work in the classes of ESL teachers, 43% of whom use aides. Only 32% of ABE and 18% of ASE teachers work with aides.

Aides perform a variety of duties in adult education classrooms. Of teachers with aides, 71% said that their aides tutor students while 53% of aides have other instructional duties. Some teachers (12%) also have aides or volunteers who work with them in developing curriculum or test materials. Fifty-two percent of the teachers also reported that their aides or volunteers perform clerical tasks, the predominant non-instructional duty of aides. Aides also help with housekeeping (17%) and child care (3%).

Comparing LEA with non-LEA sponsored projects, one finds 31% of teachers at LEAs versus 39% of teachers at non-LEA sponsored programs work with aides. Of LEAs, teachers at medium-sized LEAs are more likely to have aides (40%) than teachers at the larger (26%) and smaller (22%) LEA-sponsored projects.

B. INSTRUCTIONAL SETTINGS

Information relating to where adult education classes meet was compiled from the Project Director Mail Questionnaire and is presented in Table 6.5. Directors indicated those settings where their ABE/ASE/ESL clases met in fall 1979. On the whole, elementary and secondary schools are more likely to be used by projects as class sites than other facilities.

Some types of facilities are used more by non-LEA sponsored programs than by those sponsored by LEAs. Churches, community centers, business or employment sites, correctional facilities, private homes, and community colleges are less likely to be used by LEA than non-LEA sponsored projects. The greater use of community colleges by non-LEA sponsors is understandable since some community colleges sponsor ABE/ASE/ESL programs.

Presenting figures on class location for LEA projects as a whole masks some large differences among LEAs related to the size of the ABE/ASE/ESL program. LEA-Hi projects, for instance, are more likely to locate ABE/ASE/ESL classes at adult learning centers, community centers, churches, vocational-technical schools and other facilities than smaller LEA-sponsored projects. Two related factors

TABLE 6.5

LOCATIONS WHERE ABE/ASE/ESL CLASSES ARE CONDUCTED
(Percent of Projects Using Location)*

Facility	Overall	Non-LEA Sponsor	LEA Sponsor			
			All	Hi	Med	Lo
Secondary School	71.1	64.2	72.7	75.0	72.4	72.2
Elementary School	42.5	40.9	42.9	61.4	48.3	33.3
Adult Learning Center	30.5	33.2	29.8	86.4	36.8	7.8
Community Center	25.2	40.3	21.6	43.2	24.1	13.3
Vocational/Technical School	22.6	24.9	22.1	29.5	27.6	15.6
Church	22.2	28.8	20.7	52.3	24.1	8.9
Correctional Facility	18.6	29.9	15.9	43.2	16.1	7.8
Community College	15.8	54.4	6.7	18.2	6.9	3.3
Business/Industrial Site	13.1	19.2	11.6	43.2	9.6	4.4
Private Residence	11.4	19.9	9.3	15.9	10.3	6.7
Hospital	11.1	14.8	10.2	29.5	10.3	4.4
Library	10.4	15.1	9.3	29.5	8.0	4.4

*Columns exceed 100% because many projects have several different types of locations (overall median number of types of class settings = 2.4; mean = 3.1; mode = 1).

seem to account for these differences among LEAs. First, smaller LEAs having lower overall enrollments may need fewer class sites than larger programs. Second, since the smaller projects have fewer teachers, these projects cannot offer classes in as many locations as larger projects since they lack the staff needed to do so.

Thus, it is not surprising that although 82.7% of the projects use elementary or secondary school buildings, the participant data showed that only 37.6% of the project participants attended sessions in elementary or secondary school buildings. Twenty-eight percent of the participants attended sessions in Adult Learning Centers, and one-tenth of participants attended sessions in community colleges and vocational/technical schools (9.8%). The remaining one-quarter of participants (25.1%) attended sessions in other settings, primarily churches and correctional institutions.

Project directors also furnished information about the availability of adult education instruction during the summer months. Although 45% of projects do not offer classes during the summer, their availability is affected by the size and sponsorship of the project. Adult education instruction is not offered, for instance, at over two-thirds of LEA-Lo projects (68.5%). In contrast, over one-half of LEA-Medium (55.2%) and nearly all LEA-Hi projects (92.2%), have at least some ABE/ASE/ESL classes which meet during the summer months, as do 73% of non-LEA sponsored projects.

C. COURSE CONTENT

The subject matter students are taught is an important part of intruction. The content areas covered by the surveyed teachers are presented in Table 6.6. Their responses show that adult participants receive instruction in a variety of areas, and that most teachers provide instruction in several subjects as well.

TABLE 6.6

CONTENT OF COURSES TAUGHT BY ABE/ASE/ESL TEACHERS

Content Area	Percent of Teachers Covering Area
Reading	86.6
Writing	72.1
Mathematics	61.4
Social Studies	43.7
Coping Skills	42.9
Consumers Education	30.3
Health Education	24.4
English as a Second Language	19.9
Ethnic/Racial Heritage	10.8

As the table shows, reading, writing, and math are taught more extensively than other subjects. Many teachers, however, include other subject areas in their adult education courses. Approximately 20% of instructors teach English as a Second Language (ESL) to at least some of their students. Coping skills, such as how to apply for a job or legal assistance, are taught by 43% of teachers. Thirty percent of teachers reported teaching consumer education courses, while nearly 25% offer some health education. Together these data suggest that classes are offering participants opportunities to learn a variety of basic skills and information needed to live in today's society.

D. INSTRUCTIONAL PRACTICES

The subject matter offered to participants in adult education classes is only one part of the instructional process. Another important aspect relates to the instructional strategies used with adults. These strategies include two areas

which will be discussed here: (1) ways of diagnosing participants' ability levels and assessing their progress; and (2) the instructional methods used by teachers in their classrooms.

1. Diagnostic Testing and Assessing Participant Progress

The success of an instructional program depends in part on adequate assessments of participants' educational needs and abilities. With this in mind, both project directors and teachers were queried about the use of tests with their programs. Ninety percent of the project directors indicated tests are used diagnostically for placement purposes, 82% used tests to assess student progress, and 62% used tests at course completion. Only 7% of directors said tests are not used to any great extent with their projects.

According to project directors, 66 different standardized tests are used with adult students in addition to locally-developed, nonstandardized tests. Directors listed the two tests used most frequently with project students. The tests listed in Table 6.7 are used most by at least 5% of adult education projects. The Tests of Adult Basic Education (TABE) was cited by 32% of the project directors, the most frequently mentioned instrument. The Adult Performance Level Battery was used by only 8% of the directors. It is worth noting that 25% of the directors said locally developed, nonstandardized tests are used with their students. This suggests that project personnel are quite willing to devise measures to meet their participants' needs when they are not aware of suitable, standardized tests or are for some other reason unable to use them. It may also indicate, however, that information about standardized tests that can be used with adults needs to be more widely disseminated.

TABLE 6.7

STANDARDIZED TESTS CITED AS MOST USED BY 5% OR MORE OF LOCAL PROJECT DIRECTORS

Tests	Percent*
Tests of Adult Basic Education (TABE)	32
GED	27
Adult Basic Learning Examination (ABLE)	18
Wide Range Achievement Test (WRAT)	15
California Achievement Test (CAT)	11
Adult Performance Level (APL) Battery	8
Comprehensive Tests of Basic Skills (CTBS)	5

*Twenty-five percent of directors indicated locally developed, nonstandardized tests are used by their programs.

Teachers indicated when they use placement tests with their participants and how they assess a student's progress. Of responding teachers, 18.5% indicated that they use placement tests when participants enroll in their classes, while 13.6% of teachers use them only when they perceive the need. The largest group of teachers, though, 52% of them, use diagnostic tests in both of these situations.

Table 6.8 summarizes teachers' indications of the ways participant progress is currently evaluated and how they believe it should be. Their responses indicate that they would like to increase the use of competency-based tests, participant evaluations, and staff conferences when assessing participant progress, while reducing their reliance on classroom tests, teacher summary evaluations, and informal means of judging participant gains.

TABLE 6.8

SUMMARY OF WAYS ADULT EDUCATION TEACHERS ASSESS PARTICIPANT PROGRESS
(In Percents*)

Should be used more:	Is Used	Should be Used
Participant Evaluation	35.6%	47.1%
Standardized Achievement Tests	42.5	42.7
Competency-Based Tests	30.3	40.5
Staff Conference	28.5	34.1
Should be used less:		
Teacher Summary Evaluation	67.7	60.9
Classroom Tests	57.0	54.1
No Test, Informal Means	36.2	33.3

*Totals exceed 100% due to multiple responses.

These data suggest that teachers believe there are important gains participants achieve or feel they achieve which they as teachers may be unable to assess. Teachers believe participants themselves can report these gains or can demonstrate them on competency-based measures.

2. Instructional Methods and Strategies

The instructional approach chosen for the teaching of adults, especially those with limited education is critical to learning, and involves specially selected methods and values about adults as learners. Teachers in the visited projects provided information about the instructional methods and strategies they use with adult education participants. Overall, teachers appear to be quite flexible in the instructional strategies used.

Forty-seven percent of teachers indicated that they predominatly individualize their instruction. Another 19% mainly work with participants in small groups. At the same time, 60% of teachers reported that they tutor participants a great deal, while 47% of them reported that they frequently group participants with similar problems or interests. These data are consistent with

the finding that 65% of teachers believe that other teachers in their project actually adapt their instructional strategies and pace to individual participants a great deal.

A comparison of the predominant instructional strategies used by teachers in LEAs to that of teachers in programs of other sponsors shows there is little difference between them: 65% of LEA teachers and 69% of teachers at other programs use an individualized or small group approach. There are, however, differences evident across LEAs. Only 55% of teachers in LEA-high projects predominantly use these approaches compared to over 70% of teachers at LEA-medium and LEA-low projects. The higher use of large group classroom instruction at the larger LEAs (44% versus 25% at other LEAs) may be due to the larger participant-teacher ratio of LEA-high projects reported earlier. Teachers with more participants per class may believe individualizing instruction is not practical and therefore LEA-high teachers are more likely to use a classroom approach.

In addition there are differences in instructional strategies related to whether teachers instruct ABE, ASE, or ESL. A majority of ABE teachers (57%) and ASE teachers (52%) individualize their instruction. However, less than one-third of ESL teachers (30%) do so. ESL teachers opt instead to use a classroom mode of instruction (54%), a mode used by 32% of ASE teachers and only 14% of ABE teachers. Instead of classroom instruction, ABE teachers are more likely to work with participants in small groups. The higher use of classroom instruction by ESL teachers may relate to the nature of that subject area. ESL can amenably be taught in a classroom where together participants can practice in oral exercises.

3. Competency-Based Instruction

As discussed in Chapter 4, an area of strong interest in adult education relates to the use of competency-based instructional strategies with adults. Some argue that a competency-based strategy to adult education is clearly superior to one focused on traditional academic disciplines (e.g., Math, English, or Social Studies). Among these advocates, some support a particular framework and set of materials which grew out of the Adult Performance Level Survey

conducted in the early 1970's by the University of Texas (with USOE support).[1/] Others take a more general view, advocating any of several specific approaches.

Project directors and teachers provided information about current attitudes and practices relating to the use of competency-based teaching in their adult education programs. Each project director indicated the percent of teachers in his/her project that emphasize competency-based concepts. The mean percent across all projects is 70.9%, indicating that project directors believe their teachers use competency-based instruction to a large degree.

Both project directors and teachers expressed how they feel about competency-based teaching. Responses from both of these groups, shown in Table 6.9, indicate that about 75% of teachers and project directors believe that competency-based instruction has a role to play in the education of adults. Twenty-eight percent and 23% of directors and teachers, respectively, believe that a competency-based strategy should be the basis of their entire adult education project, while another 50% of respondents in both groups feel that the competency-based strategy should be used with selected program topics. However, 24% of teachers and 14% of directors either believe that a competency-based strategy should not be used at all, or they are not familiar with the strategy and its fit with their programs.

1/ Division of Adult and Continuing Education, the Texas Education Agency, and the Division of Extension, The University of Texas at Austin. A Research and Development Project to Design a System and Supporting Materials to Provide an Adult Performance Level (APL) in Four Major Sub-Areas for Adult Basic Education. Preliminary Report Prepared for the Adult Performance Level Study Director's Advisory Conference, November 2-3, 1972. Austin: Texas Education Agency, 1972.

TABLE 6.9

VIEWS OF COMPETENCY-BASED TEACHING OF PROJECT DIRECTORS AND TEACHERS

	% Project Directors	% Teachers
Should be basis of entire program	28.5	22.8
Use only with specific program topics	50.5	49.2
Should not be used at all	2.7	6.0
Unfamiliar with strategy	11.4	18.8
Other	6.9	3.2

The Adult Performance Level (APL) Survey was developed out of the interest adult educators have in identifying competencies adults need to successfully function in society. Project directors favoring competency-based strategies were asked to indicate the degree of emphasis their ABE/ASE/ESL programs place on the APL-functional competency areas: consumer economics, government and law, occupational knowledge, community resources, and health. As shown in Table 6.10, between 12% and 18% of these directors, depending on the competency area being discussed, indicated that their programs place little or no emphasis on the APL areas. Thus, it appears that there is widespread support for competency-based teaching in adult education when broadly defined, but that as yet, the integration of APL competencies into local adult education programs has been limited.

TABLE 6.10

DEGREE OF EMPHASIS PLACED BY PROJECT DIRECTORS ON APL FUNCTIONAL COMPETENCY AREAS

APL Competency Area	Extent of Emphasis		
	Little or No	Some	Great
Consumer Economics	12.4%	57.5%	30.1%
Occupational Knowledge	13.2	64.5	22.2
Community Resources	13.8	61.6	24.6
Health	18.2	61.3	20.5
Government and Law	17.2	62.1	20.1

E. TEACHER TRAINING AND CERTIFICATION

Evidence from a number of studies dealing with adult learners suggests that they differ from children in the sense that the instructional strategies appropriate for use with elementary and secondary school youth are not suited to adult populations. Furthermore, most adult education teachers were trained and certified for teaching youth. To the degree that this evidence is correct, it indicates that adult education teachers may need to develop specific instructional values, methods and techniques for use with adults. Consequently, the training and staff development activities of project teachers as well as the issue of certifying teachers specifically in adult education were explored. These areas were examined to determine: (1) the type of training and staff development experiences teachers receive; and (2) whether these experiences have an impact on what students gain from attending adult education projects, an issue which will be discussed in Chapter 8.

1. Teacher Training

Two areas related to teacher training were explored in this study: The nigher education coursework in adult education completed by teachers, and their participation in ABE/ASE/ESL related staff development activities. The latter area was also explored with project directors through the mail survey.

Responses from teachers indicated that 30% of them had completed college or university coursework for credit in ABE/ASE/ESL subject areas during the last two years. Breaking these figures down in relation to ABE, ASE, and ESL programs, one finds ESL teachers are more likely to have completed coursework in adult education than ABE or ASE teachers. Of ESL teachers, 37% completed courses in contrast to 28% of ABE and 25% of ASE teachers. This finding is consistent with data showing that ESL teachers are also more likely to be certified in adult education and suggests that a relationship, borne out by study results, between coursework and certification. Of the 30% of teachers who had completed coursework for credit , 45% are specifically certified in adult education. Only 25% of teachers who had no coursework are certified in ABE/ASE/ESL.

Although less than one-third of teachers had completed coursework in the past two years related to ABE/ASE/ESL, 75% of all teachers did participate in inservice staff development activities related to adult education. Information reflecting the number of activities in which teachers participated during tne previous 12 months is shown in Table 6.11.

TABLE 6.11

EXTENT OF TEACHER PARTICIPATION IN
ABE, ASE OR ESL STAFF DEVELOPMENT ACTIVITIES WITHIN
PREVIOUS TWELVE MONTHS

Number of Activities	Percent of Teachers
0	24.6
1-5	62.1
6-10	10.8
11-25	1.9
	Median = 1.9

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As may be seen in the table, most teachers were involved with between one and five inservice activities. Only 13% of teacners indicated a greater level of participation. These figures are lower than ones provided by project directors, 89.5% of whom indicated that some of their teachers had participated in staff development activities. Of directors, 73.4% responded that 50% or more of their instructors were involved in these activities.

Teacners participating in staff development activities provided information, summarized in Table 6.12, on the types of training activities that were emphasized. Over 60% of the teachers indicated that their inservice activities included workshops, conferences, and curriculum development activities. Only 27% of teacners said coaching by supervisors was a part of their activities, while just 14% referred to training activities which involved working in the classroom of a more experienced teacher or staff member. Teachers felt, though, that all of these training forms should be emphasized, including the latter two areas. Indeed, study data show that over 75% of teachers believe staff development should include at least some emphasis on working with more experienced teachers and coaching from supervisors. This finding suggests teachers want to increase their abilities to instruct adults and contradicts any notion that teachers are afraid of exposing their methodological deficiencies and are therefore unwilling to work in the classroom with peers.

TABLE 6.12

TEACHER REPORTS ABOUT TYPES OF STAFF DEVELOPMENT ACTIVITIES WHICH RECEIVED EMPHASIS DURING PAST YEAR AND SHOULD RECEIVE EMPHASIS IN THE FUTURE

Activity	Percent Reporting Activity was Emphasized	Mean Rating of Emphasis Activity Should Receive*
Workshops and conferences conducted by local ABE/ASE/ ESL project	79.3	5.7 (1.39)
Workshops and conferences conducted by others outside local project	69.3	5.4 (1.36)
Participation in curriculum development	61.7	5.6 (1.29)
Participation in university courses related to ABE/ASE/ ESL work	39.8	5.0 (1.65)
Coaching by supervisors or others	26.7	4.2 (1.80)
Assignment to work in classroom of a more experienced teacher or staff member	14.3	4.1 (1.89)

*Mean rating on scale of 1 to 7 where 1=no emphasis and 7=a great deal of emphasis. Standard deviations are in parentheses below each mean.

Teachers participating in at least one staff development activity and project directors with over 50% of their teachers participating indicated areas which have been and should be areas of focus. As presented in Table 6.13, over one-half of those teachers and project directors reported that the following areas have been emphasized: alternative teaching strategies, specific content areas in adult education, the needs of participants with varying ethnic/cultural backgrounds, diagnosing adults' academic abilities and needs, and ways to keep

participants from dropping out of adult education classes. These are also the areas teachers and directors feel staff development should most emphasize in the future. Teachers, though, were more likely to desire training focused on the needs of students with varying cultural/ethnic backgrounds, while directors believed more strongly that recruiting techniques should be a training emphasis. These differences in perception are probably a function of the responsibilities of teachers and directors, with both of these groups believing training should focus more strongly on tasks they are most likely to perform or on factors which affect them most.

2. Teacher Certification

A related issue which has received some attention in adult education is the certification of adult teachers. This study examined the issue in two ways. First, teachers indicated whether they were certified teachers (in any area) and then whether they were specifically certified in ABE, ASE, or ESL. Secondly, project directors and teachers were both queried about the importance of specific certification in ABE/ASE/ESL for teachers of adults.

Data obtained from teachers indicated that 94% of them are certified teachers and that 32% of them have special certification in ABE/ASE/ESL. Currently, certification in ABE/ASE/ESL is required of some adult education teachers in four states and of all teachers in eight other states.[2/] The finding that 32% of ABE/ASE/ESL teachers have special adult education certification is likely an overstatement of the actual percentage of teachers certified specifically in ABE/ASE/ESL across the U.S., since data was gathered from teachers in 10 of these 12 states where special certification is required. Information from project directors in all states gathered during the mail survey suggests only 13% of ABE/ASE/ESL teachers are specifically certified in these areas.

2/ Certification is required of at least some teachers in Alabama, Arizona, Arkansas, California, Connecticut, Georgia, Hawaii, Missouri, Mississippi, New Mexico, New York and Rhode Island.

TABLE 6.13

PROJECT DIRECTOR AND TEACHER PERCEPTIONS OF STAFF DEVELOPMENT ACTIVITIES

Area of Focus	Project Director Perceptions		Teacher Perceptions	
	Has been a thrust (percent)	Should be a thrust (mean)	Has been a thrust (percent)	Should be a thrust (mean)
Increase knowledge of specific content areas, to keep up-to-date in field	73.9%*	5.5** (1.38)	72.6%*	5.6** (1.54)
Increase insight into needs of participants with a varying ethnic/ cultural background	55.1%	4.9 (1.44)	68.7%	5.5 (1.45)
Increase knowledge in alternative teaching strategies	73.6%	5.7 (1.18)	69.1%	5.7 (1.23)
Increase skills in dealing with participants' personal problems	47.0%	5.0 (1.30)	44.0%	4.9 (1.67)
Increase occupational knowledge	37.1%	5.0 (1.40)	34.9%	4.6 (1.66)
Increase skills in vocational counseling	27.7%	4.9 (1.44)	22.4%	4.4 (1.73)
Increase ability to recruit participants	57.8%	5.4 (1.44)	38.9%	4.6 (1.87)
Increase ability to keep participants from dropping out	73.3%	6.2 (1.07)	62.5%	5.7 (1.61)
Increase ability to diagnose participants' academic ability level and needs	80.0%	6.2 (0.99)	65.7%	5.8 (1.31)
Increase knowledge of consumer economics, community resources, and/or government and the law	54.1%	5.4 (1.33)	44.9%	5.2 (1.59)

*Percent indicating area was emphasized.

**Ratings were made on a seven-point scale where 1=no extent and 7=a great extent. Standard deviations are listed in parentheses below each mean.

Both teachers and project directors also indicated how important they believe it is for teachers working with adults to be specifically certified in ABE/ASE/ESL. Compared to project directors, teachers are more likely to believe in the importance of special certification. Thirty-six percent of teachers, including about two-thirds of teachers with special certification, indicated that such certification is very important, contrasted to 28.5% of project directors. Project directors were more likely to believe such certification is of only some importance.

F. SUMMARY

An estimated 40,630 teachers worked with adult education projects during fall 1979. Data presented in the preceeding chapter showed the median number of teachers per project is eight, the modal number is only two and the mean number, which varied between 58.5 and 7.3 depending on the project's type of sponsoring agency and size, is about 20. Of these instructors, about 59% taught ABE, 11% taught ASE, and 28% taught ESL.

Characteristically, the typical adult education teacher is a female with three or more years experience teaching adults, who works with the project on a part-time basis, teaching in the evenings 6 to 9 months a year. Although she is definitely a certified teacher, she does not have special certification in adult education.

Adult classes are held in a variety of settings but are most likely to be held at elementary and secondary schools. One finds that this differs, however, depending on whether the project is sponsored by an LEA or non-LEA. Projects sponsored by non-LEAs are more likely than LEA projects to offer instruction in other settings such as community colleges, community centers, adult learning centers, and churches. Overall, about 38% of the participants attend sessions in elementary or secondary school buildings, 28% in adult learning centers, 10% in community colleges or vocational schools, and 25% in churches, correctional institutions, and other locales.

Teachers offer instruction in a variety of subject areas which provide adults basic skills in reading, writing, mathematics, and the English language as well as basic information needed to function in today's society. About 35% of teachers have aides in their classrooms who provide instructional and non-instructional assistance.

Teachers try to accommodate each student's unique needs through use of a variety of strategies. For instance, 71% of teachers use diagnostic tests to place students when they enroll and 66% use them to help assess student gains. Sixty-six percent of teachers also either individualize their instruction or work with students in small groups. ESL teacners are less likely to use these two strategies, opting instead for large group, classroom instruction.

Competency-based instructional strategies are another technique used to help meet students' needs. About 75% of teachers and local project directors believe this strategy can play a useful role in helping instruct adults. Information from those directors shows, however, that competencies identified by the Adult Performance Level Survey have been integrated into adult education curricula by local projects on only a limited scale.

Data on teacher training and certification showed that about 30% of adult education teachers had completed special college or university coursework for credit over tne past two years in ABE/ASE/ESL subject areas. Overall, 32% of the teachers hold special certification in adult education, and 75% participated during the previous year in inservice staff development activities.

Teachers participating in inservice activities, which were largely workshops and conferences, indicated tnat those activities focused mainly on: alternative teaching strategies, specific content areas in adult education, the needs of participants witn varying cultural/ethnic backgrounds, diagnosing academic ability levels, and ways to keep participants from dropping out of classes. These are areas that teachers believe training should focus on in the future as well. Teachers felt that future training should also include some opportunity to work with more experienced teacners.

CHAPTER 7

PARTICIPANT-RELATED CHARACTERISTICS

The ultimate purpose of the Adult Education program is to provide needed services to eligible adults. Federal and state program management as well as local administration and instruction are critically important to this purpose. At the core of the program, however, are the individual participating adults. One of this study's goals was to gain additional information concerning the number and characteristics of adult education program participants. To date, the primary source of national participant data has been the Annual Performance Reports submitted by state adult education directors to USOE. The National Center for Education Statistics (NCES) reports this information annually, providing breakdowns of all adult education participants by sex, age, ethnicity, employment status, educational progress, and a number of other variables. These reports, however, cover information from the Annual Performance Reports submitted three years prior to report publication. Hence, by the time this information is distributed, it is somewhat out of date.

A. OVERVIEW OF DATA AND ANALYSES

This chapter presents data relating to the participants in adult education programs which parallel and supplement the information supplied by the Annual Performance Reports. The information reported here, however, comes directly from local projects rather than from summaries provided by the states. The following discussion presents two types of information about participants:

- Demographic Information - data describing the characteristics of adult education participants; and
- Project Information - data describing, at a participant level, the characteristics of the projects adults attend.

The programmatic information presented in this chapter differs from information presented in Chapters 5 and 6. In these chapters, projects and teachers were the units of analysis under focus. Now, however, the discussion examines project characteristics in relation to the participants themselves. Earlier, for example, the percentage of projects which offer instruction in elementary schools was discussed. Now, in contrast, the discussion will address issues such as the percentage of participants actually attending adult education classes at that type of facility.

In parallel discussions, the following sections examine the demographic and project related characteristics of adult education participants in general and in relation to whether an adult attends ABE, ASE, or ESL classes. Most of the information is summarized in terms of percentage estimates of the total adult education or ABE, ASE, or ESL populations. These estimates are based on sample data from two sources: the 404 responses received from project directors completing the local mail survey and descriptive data about a sample of 3,061 adults who attended adult education classes during spring 1979 at 110 site-visited projects.[1/] Data from both of these sources were weighted in accordance with accepted survey research practices to construct estimates of the corresponding population parameters.

As discussed in Chapter 2, participants were randomly selected from the spring 1979 class lists of a sample of each project's teachers. Therefore, each participant had been enrolled the project at least six months prior to the visit. This strategy of sampling past rather than current participants was chosen to permit data collection about variables associated with extended exposure to adult education classes. Thus, data could be gathered about the length of enrollment in programs, re-enrollment, and early termination or "dropping out" of classes. Information about these 3,061 participants was gathered directly from project or teacher records as much as possible. Where information about a participant was not available from these sources, efforts were made to obtain that information directly from the participant.

1/Although site visits were made to 111 sites, participant data were not gathered in Cleveland, Ohio since a teachers' strike prevented field staff from accessing adult education class lists.

Since population estimates were calculated, statistical tests for the significance of differences between groups were not calculated. Such tests are suitable only when comparing differences between groups drawn from a sample of some population. The basic analytic technique used, therefore, was calculation of frequencies and percentages of response alternatives. Where certain between-group comparisons were desirable, these comparisons were made on the sample data using the chi-square (X^2) test of significance and phi (ϕ) and Cramers V tests of strength of association. Between-group differences are reported in this chapter only if the corresponding sample data showed that there were statistically significant differences between groups on a given variable. It is important to note, however, that the calculated significance levels were used solely to indicate possible associations between variables. Technically, the complexity of the sample design used to choose participants at site visited projects voids the meaning of these levels.

Parallel information about some variables was available to this study from several sources. The data presented below, however, represent estimates based on the source from which the best data were available. Thus, information from the mail survey of project directors was used to develop projections on some variables rather than information gathered during site visits since the mail survey provided information from a greater percentage of all adult education projects. The data source for the information in the following discussions is indicated by using the superscript [a] to denote estimates made based on the mail survey and the superscript [b] to denote estimates based on data about the 3,061 participants at the site-visited projects.

Initial analyses of the weighted data from the participants at site-visited projects showed that the relative percentages of ESL and ASE participants differed from corresponding data supplied by project directors on the mail survey. Since the latter information was considered more nearly accurate, the estimates based on those 3,061 participants were post-stratified based on mail survey data about the relative frequencies of ABE, ASE, and ESL participants. Such post-stratification techniques increase the accuracy of estimates derived from the post-stratified variables.

B. NUMBER OF PARTICIPANTS

Based on data provided by the state directors of adult education and as discussed in Chapter 4, the total estimated number of participants enrolled at adult education projects during the 1978-79 program year was 1,931,710. This estimate coincides well with the enrollment estimate of 1,992,000 for the 1978-79 program year state directors provided USOE on the Annual Performance Reports. The projected enrollment, according to state directors, for the 1979-80 program year is 2,166,552.

Data concerning the numbers of participants were also collected directly from the local project directors completing the mail survey. Projections were developed based on those data of the total number of ABE, ASE, and ESL participants enrolled in projects which received at least $1,500 under the Adult Education Act, served at least some non-institutionalized adults, and had been in operation for at least two years. These calculations indicate that there were 972,894 participants enrolled in these projects during the spring 1979 term and 817,213 participants enrolled in the fall term of 1979.[b] Weighted data gathered about participants during the site visits indicated that 21.4% of those enrolled in spring 1979 were still attending adult education classes in fall 1979. In general, then, the sources of enrollment data are in agreement. The projected number of participants based on the local project director questionnaire was smaller that the other projected figures. This discrepancy was expected, however, since the questionnaire excluded small and recently funded projects as well as summer participants.

C. DEMOGRAPHIC CHARACTERISTICS OF PARTICIPANTS

Analyses were performed examining the demographic characteristics of participants in general and those enrolled in ABE, ASE, and ESL classes.

b - Data from the participant records.

Overall, the picture that emerges is that of a relatively young, ethnically diverse group where women outnumber men. Analyses showed females significantly outnumber males among adult education participants, constituting 58.8% of all participants.[a] This pattern is consistent with data reported by NCES and holds regardless of whether speaking about ABE, ASE, or ESL participants.

The level of employment among participants is relatively low. Only one-half (50.2%) of them are employed, and over one-quarter (26.9%) receive some form of public assistance.[a] Over 10% of adult education participants live in institutional settings, mainly correctional institutions (9.8%), but smaller numbers (3.4%) reside in institutions for health and welfare.[a] Only a small proportion of participants are physically handicapped (2.6%) or mentally retarded (3.8%).[b]

Data gathered by mail and onsite classified participants into four age groups: 16 to 21 years of age, 22 to 34 years, 35 to 59 years, and over 60 years of age. Estimates developed based on these data indicate that in general persons in the 22 to 34 year age range constitute the largest proportion of adult education participants, 42.7% of all enrollees.[a] About one-quarter of participants fall in the 16 to 21 year range (22.4%) and in the 35 to 59 year group (28.2%).[a] The remaining participants (6.7%) are over 60 years old.[a]

Across ABE, ASE, and ESL programs, there are differences in the ages of participants enrolled in these three types of programs. Although they constitute only 31.0% of ABE and 22.9% of ESL participants, young adults in the 16 to 21 year age range account for nearly one-half of ASE participants (47.5%). As adults get older, they are less likely to enroll in an ASE program.

There are several implications which grow out of the fact that so many persons in the 16 to 21 year age group enroll in ASE classes. It appears that these young adults would very much like to complete their high school

[a] - Data from the local project director's mail questionnaire.
[b] - Data from the participant records.

educations. However, it suggests that young people may treat adult education classes as if they were alternative high schools. Rather than continuing their education and graduating with their high school classes, these students drop out of high school cognizant of the fact that they can complete their education by going to ASE classes and passing the GED examination. In some cases, this dropping out of high school and entering into adult education programs may be encouraged by high school officials. Some officials may encourage such dropping out by students that have difficulty functioning in a high school environment or students with whom it is troublesome to deal. These issues could profitably be explored in future studies.

The distribution of participants with different ethnic backgrounds also varies among ABE, ASE, and ESL programs. Overall slightly more than two-fifths of adult participants are white (43.3%), slightly more than one-fourth are black (27.4%), and the remainder are Hispanic (20.6%), or of Asian or Pacific extraction (7.5%), or Native Americans (1.2%).[a] As Table 7.1 shows, however, these general descriptions do not hold when one examines the ethnic backgrounds of students in relation to their enrollment in ABE, ASE, and ESL programs.

Whites make up about 50% of ABE and 73% of ASE participants but only 11% of those in ESL. Even fewer ESL participants come from Native American or Black backgrounds. Instead, ESL participants are Hispanics (57.3%) or from Asia or the Pacific (31.1%). Hispanics are about as likely as Blacks to enroll in ABE programs. However, a greater percentage of Blacks (18.7%) enroll in ASE classes than Hispanics (6.6%).[b]

The educational backgrounds of participants also vary widely. About one-third have completed seven to nine years of formal schooling while another one-third have 10 to 12 years of prior formal education. Most of the remaining participants are enrolled in ESL programs, with 50.6% of those with less than seven years of schooling and 45.8% of students who have completed high school enrolled in ESL.[b] Among adults in ESL classes, there are differences between

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a - Data from the local project director's mail questionnaire.

b - Data from the participant records.

Hispanics and Asians. Asians tend to have considerably greater amounts of prior formal schooling than do Hispanics and are more likely to be among ESL participants who have completed high school.

TABLE 7.1

DEMOGRAPHIC CHARACTERISTICS OF PARTICIPANTS IN ADULT EDUCATION PROJECTS, OVERALL AND BY PROGRAM TYPE*

CHARACTERISTIC	PROGRAM TYPE			OVERALL
	ABE (%)	ASE (%)	ESL (%)	(%)
Sex				
Male	45.6	41.1	47.4	41.2
Female	54.4	58.9	52.6	58.8
Age				
16-21 years old	31.0	47.5	22.9	22.4
22-34	37.6	33.8	44.9	42.7
35-59	24.2	15.8	25.9	28.2
60 and over	7.3	2.9	6.4	6.7
Ethnicity				
Hispanic	24.8	6.6	57.3	20.6
Native American	1.1	1.4	0.1	1.2
Asian/Pacific	1.7	0.1	31.1	7.5
Black, not Hispanic	22.5	18.7	0.5	27.4
White, not Hispanic	49.9	73.2	11.1	43.3
Time in U.S.				
Immigrant within past 10 years	11.6	5.0	84.6	22.4
Non-immigrant	88.4	95.0	15.4	77.6
Years of Prior Schooling				
None	4.0	0.0	4.8	2.6
1-6 years	20.9	2.1	42.7	17.9
7-9 years	36.2	33.3	21.9	32.4
10-12 years	27.2	56.4	6.7	34.3
Completed High School/has GED	6.3	6.4	14.5	7.9
Beyond High School	5.5	1.9	9.3	4.9

*Data by program type are from the participant data; overall data is from the Project Director Mail Questionnaire. Thus, there are relatively small differences between averages based on program type and overall values.

Geographically, almost two-thirds of participants are enrolled in projects located within standard metropolitan statistical areas (SMSAs). Examining the characteristics of these SMSAs, one finds: 14% of adult education participants attend projects in cities or towns of less than 50,000 people; one-third of them attend projects in cities of 50,000 to 250,000; and approximately one-sixth

(17.6%) of the total adult education population attend projects in cities of over 250,000.[b]

There are distinct differences among ABE, ASE, and ESL participants relating to the geographic location of the projects they attend. Participants in rural areas and small towns are more likely to be enrolled in ABE and ASE classes and less likely to be enrolled in ESL classes than participants in medium and large cities.

D. PROJECT-RELATED PARTICIPANT CHARACTERISTICS

Table 7.2 presents the characteristics of the projects associated with participants attending ABE, ASE, and ESL programs. Overall, data from participants indicate 29% attend classes meeting in secondary schools, 27.6% attend classes at adult learning centers, 9.8% attend classes at community colleges or vocational-technical schools, 8.6% attend classes held in elementary schools, and 25.1% of them attend classes held in some other type of facility. These figures relating to where participants attend classes supplement related data from the project director mail questionnaire. The project directors reported that 42.5% of projects offer some classes at elementary schools and 71.1% offer some of their classes at secondary schools, but from the participant data, it is clear that relatively few students attend classes in these facilities.

Examining the data about where classes are offered in relation to ABE, ASE, and ESL programs shows ABE participants were most likely to attend classes held in some facility like a community center, church, hospital or private home. This is in contrast to ASE participants who were most likely to attend classes in secondary schools. ESL participants were somewhat more likely to attend classes held in adult learning centers than those held in secondary schools.

Other data in Table 7.2 indicate that in general participants are most likely to attend classes which meet in the evening, two to four days a week, and receive individualized instruction. These data also show most participants enrolled

[b] - Data from the participant records.

during the spring session (79%) did not re-enroll the following fall. An examination of these data in relation to ABE, ASE, and ESL programs indicates that ASE participants are most likely to fit this general pattern. Some deviations from it are evident, however. ESL participants are more likely than those in ABE and ASE classes to attend classes which meet during the day and, as noted in Chapter 6, their teachers are most likely to utilize group rather than individualized instruction. Also, slightly more ESL participants attending in the spring of 1979 re-enrolled in the fall, although over 76% of these ESL participants did not.[b]

TABLE 7.2

PROGRAMMATIC DIFFERENCES AMONG PARTICIPANTS
IN ADULT EDUCATION PROJECTS, OVERALL AND BY PROGRAM TYPE*

CHARACTERISTIC	PROGRAM TYPE			OVERALL
	ABE (%)	ASE (%)	ESL (%)	(%)
Elementary school	12.6	5.6	5.5	8.6
Secondary school	14.4	44.1	32.5	29.0
Community college/ vocational-technical school	5.5	12.2	15.0	9.8
Adult Learning Center	26.3	25.9	33.8	27.6
Other	41.2	12.2	13.3	25.1
Day	36.0	26.8	55.3	43.9
Evening	64.0	73.2	44.7	56.1
5 or more days a week	35.2	20.0	38.6	22.8
2-4 days a week	58.5	75.1	60.1	62.8
1 or less days a week	6.3	4.9	1.3	14.3
Individualized instruction	37.7	66.4	13.8	44.0
Group instruction	27.1	21.5	41.8	27.7
Combination	35.2	12.1	44.4	28.2
Maintain spring to fall enrollment	22.0	18.5	23.5	21.0
Do not maintain spring to fall enrollment	78.0	81.5	76.5	79.0

*Data by program type are from the participant data; overall data is from the Project Director Mail Questionnaire. Thus, there are relatively small differences between averages based on program type and overall values.

[b] - Data from the participant records.

Since it seemed likely that participants in different program areas could be distinguished on the basis of both demographic and project characteristics, a series of discriminant function analyses were performed to highlight the most salient variables distinguishing ABE, ASE, and ESL participants. Of the variables considered, five were found to effectively differentiate ABE, ASE, and ESL participants. These characteristics are: ethnicity, sex of the participant, the urban/rural geographical location of the project, whether the participant attends day or evening classes, and whether the participant receives individualized or group instruction. The overall classification accuracy of these variables in distinguishing these groups was 60.8%. The discriminant equation generated in this analysis successfully classified 87.2% of ESL, 74.5% of ASE, and 39.1% of ABE participants. To determine which of these characteristics were the most effective, the discriminant function coefficients for the (statistically significant) dimension are presented in Table 7.3. As is apparent, the three most important characteristics were: ethnicity, time of class, and project location.

TABLE 7.3

DISCRIMINANT FUNCTION COEFFICIENTS DISTINGUISHING ABE/ASE/ESL PARTICIPANTS

Characteristics	Standardized Canonical Discriminant Function Coefficient
Participant's Ethnicity	-0.638
Day/Evening Class	0.501
Project Location	0.480
Participant's Sex	-0.325
Mode of Instruction	0.289

The discriminant function analysis confirms that ABE, ASE, and ESL participants form characteristically distinct groups. Examining group difference showed that ESL participants are more likely than other participants to be males of Hispanic or Asian/Pacific backgrounds and to attend classes in urban areas which meet during the day. They are also more likely to receive group as opposed to individualized instruction. Participants in ASE classes are, in contrast, more likely to be Caucasians in less urban areas who attend evening classes which

meet in secondary schools under the tutelage of teachers who individualize their instruction to participants.

E. SUMMARY

During the 1978-1979 program year, there were slightly less than 2 million estimated adult education participants in local projects funded by the Adult Education Act. Approximately 59% of those participants were female, 65% were under the age of 35, and 51% attended projects in cities of greater than 50,000 population. There are large numbers of participants from minority groups, with White, non-Hispanics constituting only 43% of the program population.

In terms of economic factors, only 50% of participants were employed, and 27% of all participants were receiving some form of public assistance. Fifty-three percent of participants had nine or less years of prior formal schooling.

A major factor differentiating adult education participants was the type of program in which they were enrolled. Participants enrolled in adult secondary education programs were more likely than those in the ABE or ESL groups to be female, White, non-immigrant, and in the 16-21 year old age range. Enrollees in English as a Second Language were more likely than ABE or ASE participants to be male, Hispanic or Asian/Pacific, immigrant, and in the 22-34 year old range. These differences indicate that there are actually three distinctive groups using adult education services, and that the special characteristics and needs of each group must be carefully considered.

Cities of greater than 50,000 population are particularly likely to have Hispanic and Asian/Pacific residents, and thus the need for ESL programs in such cities is great. Because Asian/Pacific individuals typically enter adult education programs with more prior formal schooling than do Hispanics, it would appear that the primary need for Asian/Pacific individuals is language training, while Hispanics may be more likely to need basic and secondary education as well.

CHAPTER 8

PARTICIPANT VIEWS OF THE PROGRAM AND ITS BENEFITS

Chapter 7 reported data based on information about 3,061 randomly selected participants who attended the site-visited adult education projects in the spring of 1979. During and after these visits, repeated attempts were made to contact each participant. Because most of these individuals were no longer associated with the program and many are quite mobile, the majority could not be contacted. Such difficulties in contacting participants had been expected from the start. Indeed, one important reason for the study effort was to explore potential problems associated with implementing a longitudinal evaluation design. However, 1,177 participants were contacted and interviewed to obtain information about their experiences and views of their adult education projects.

This chapter summarizes the interviews with these 1,177 participants. Since the proportion of participants from the entire sample who were interviewed is small (38.5%) and interviewees differ from non-interviewees, the development of national estimates based on interview data was considered inappropriate. Thus, the results from analyses of the interviews are presented as raw numbers and percentages, and any inferences from the data presented in this chapter need to be made with caution. The data do, however, represent a large number of participants from 110 projects in 40 states and are believed to present representative information about adult education participants.

In addition to general analyses of participant interviews, the relationships between participant responses and teacher and classroom characteristics were explored. Data from the participant interviews were merged with certain items from the Teacher Questionnaire so that a participants' responses could be cross-tabulated with information from that participant's teacher. In that way, it was possible to examine the effects of teacher experience, training, and certification on participants' perceptions of their experiences. All cross-tabulations were evaluated for statistical significance by the chi-square statistic and were tested for strength of association using the phi and Cramer's V statistics. However, because of the complexity of the design and the low

interview response rate, the significance levels obtained were used solely to indicate that a strong degree of association was present.

A. CHARACTERISTICS OF INTERVIEW RESPONDENTS

As indicated above, analyses of participant characteristics showed that interviewees did differ substantially from non-interviewees in several important respects. As shown in Table 8.1, in terms of demographic characteristics, interviewees were more likely to be: female (69.2% vs. 57.1%,); White (57.8% vs. 46.0%); middle-aged or elderly (41.5% vs. 26.6%); and to come from a rural area (52.2% vs. 40.3%). Interviewees were also less likely to have immigrated to the United States within the past ten years and to be Native American, Hispanic or from Asia or the Pacific (22.6% vs. 33.6%).

There were also differences between interviewees and noninterviewees on several variables relating to their program participation. Interviewees were more likely to be enrolled in ABE or ASE rather than ESL programs (82.2% vs. 72.6%); to attend classes meeting at elementary or secondary schools rather than other locations (49.0% vs. 43.8%); to be current rather than former participants (38.4% vs. 18.4%); and to have been in the program for one year or more rather than less than one year (39.8% vs. 24.1%).

Descriptive information not readily available from most project records or staff was elicited during the interviews and supplements the data about the full sample of participants. Data indicate that more than one-third (37.7%) of the interviewees were employed full-time and that 13.9% were employed part-time. Over one-half of respondents (53.8%) reported having children under 18 years of age living with them. Of those having children (617 participants), over one-third (36.6%) had at least one child under school age, three quarters (75%) had least one child in school, and almost a one-tenth (9.4%) had at least one child under 18 who was out of school. A majority of respondents (57.1%) reported

having lived in their general geographic area (within 20 miles) for over ten years, but one-fifth (20.2%) reported moving to their area in the past three years.

TABLE 8.1

DIFFERENCES BETWEEN INTERVIEWED AND NON-INTERVIEWED PARTICIPANTS
(Percent of Participants)

	Interviewed	Not Interviewed
Sex		
Male	30.8	42.9
Female	69.2	57.1
Age		
16-21 years old	20.2	31.3
22-34	36.4	42.1
35-59	35.3	23.0
60 and over	6.2	3.6
Ethnicity		
Hispanic	16.6	21.8
Native American	.5	1.8
Asian/Pacific	5.5	10.0
Black, not Hispanic	19.6	20.4
White, not Hispanic	57.8	46.0
Time in U.S.		
Immigrant within past ten years	17.6	25.2
Non-immigrant	78.3	66.2
Information not available	4.1	8.6
Program Type		
ABE	60.5	55.0
ASE	21.7	17.6
ESL	17.8	27.4
Facility		
Elementary School	18.9	17.1
Secondary School	30.1	26.7
Community College/Vocational-Technical School	8.7	9.7
Adult Learning Center	21.3	21.2
Other	21.0	25.4
Time in Program		
Less than one year	60.2	75.9
Over one year	39.8	24.1
Participant Status		
Current	38.4	18.4
Former	61.6	81.6

Because interviewees were more likely to be still enrolled and to have been in the program for at least one year, they probably have more positive attitudes toward the adult education program than were non-interviewees. Also, because interviewees were likely to underrepresent the views of non-English speakers and members of ethnic minorities in adult education projects, analyses based on these differences will be presented where feasible.

B. PROGRAM CONTACT

As discussed in prior chapters, issues of program outreach, retention and the early termination of participants have been of concern at all levels of the adult education program. Thus, during the interviews the participants' views and experiences relating to these areas were explored.

1. Outreach and Recruitment

The manner by which participants learn of the adult education course in which they enroll provides important information about the outreach and recruitment practices of local projects. Interviewees were asked to describe the ways in which they learned about the projects in which they enrolled.

Respondents indicated that they were most likely to learn about the project through a friend or acquaintance. Over one-third of respondents (34.8%) reported this manner of introduction to the project. The second most frequent way of learning about a project was from a project teacher or recruiter (12.4% of respondents); the third most frequent source of information was newspapers (11.6% of respondents). All other sources of information were reported by less than 10% of respondents.

Although all major categories of participants were most likely to hear about the adult education program from friends or acquaintances, certain subgroups of participants were proportionally more likely to hear about a course from teachers or recruiters or through the newspaper. The following groups were particularly

likely to have heard about the program through teachers or recruiters: men, Blacks, elderly people, people from rural areas or small cities, ABE students, those attending classes in settings other than schools or adult learning centers, and those seeking to learn basic skills. Those particularly likely to have learned about the program through newspapers were: women, whites, the middle-aged, people from rural areas, ASE students, those attending classes in secondary schools, and those seeking GED credentials. Those students in ESL courses or from larger cities were particularly likely to hear about the program through friends or acquaintances, while ABE students were more likely to have encountered a teacher or recruiter and ASE students to have seen a newspaper announcement.

These data strongly indicate that community social networks play an important role in the development of adult education programs, and that formalized techniques of recruitment are of secondary importance in the enrollment of participants. When formalized techniques are used, it appears that the use of teachers or recruiters is preferable to the use of newspapers for attracting participants who are least served and most in need, unless the advertisements are directed at the friends or relatives of potential participants.

2. Duration with the Program

Based on the results of the interviews and consistent with estimates from project directors reported in Chapter 5, it appears that contact with the adult education program for most participants lasts less than one year. A majority of the interviewees (53.6%) reported having first enrolled in adult education courses less than a year preceding the interview. Approximately one-third (34.3%) reported having enrolled one to two years preceding the interview, and only a small number (12.1%) reported having enrolled three or more years before.

Less than half (42.7%) of the interviewees reported that they had not been attending adult education classes or activities during the semester in which interviews were conducted (i.e., fall 1979), and almost one-half (44.1%) reported attending their last adult education class the previous spring. Of those attending some classes in the fall, however, almost all (88.7%, or 414 of 467) said they were still in the program.

These data in addition to those presented in Chapter 7 appear to indicate that less than one-third of participants maintain contact with adult education programs for a year or more.

3. Early Withdrawal from Adult Education Classes

The retention of already enrolled adults in local projects is also an important issue, and was examined by this study in two ways. First, participants were asked whether they had stopped attending an adult education program or course before it was over. Almost one-half of the interviewees (45.6%) reported that they had stopped coming to sessions in the middle of a course. The following types of participants were most likely to withdraw from courses: those under 35 rather than those over 35 years of age (49.0% vs. 40.0%); Hispanics and Blacks rather than Whites and Asians (51.8% vs. 42.4%); and those attending classes in adult learning centers (60.5%) and elementary and secondary schools (49.4%) rather than those attending classes in other settings (28.0%).

Participants who stopped coming to courses were further asked why they had withdrawn. The four reasons they most frequently offered and the percentages of respondents who stopped coming for those reasons were:

- Employment conflicts - 37.5%
- Illness (personal or family) - 26.1%
- Child care responsibilities - 16.0%
- Lack of access to transportation - 10.3%

It is interesting to note that both project directors and community agency personnel reported the lack of transportation and child care services were major barriers to adults' participation with local projects (see Chapter 5). Employment conflicts were also cited as an important barrier. Thus, from a variety of independent perspectives, these areas are reported to be the ones projects must overcome.

In addition to examining whether participants stop coming to classes before the end of a term, the study examined whether participants enrolled during a spring term re-enroll the following fall. The analysis of re-enrollment patterns

focused solely on ABE participants since they are less likely to reach a termination point in their education at the end of coursework in the spring. ASE participants could pass the GED examination at this point and participants in ESL classes could decide they had sufficient mastery of English and, therefore, not re-enroll.

Data obtained from project records indicated only 22% of ABE participants enrolled in spring 1979, re-enrolled the following fall. A discriminant function analysis was run on data relating to ABE participants to identify a set of characteristics which differentiates those who do and do not re-enroll, and a step-wise analysis pinpointed five characteristics whose discriminant function coefficients were greater than .25. These are: participant's age, mode of instruction, project urban/rural location, time of day classes are attended, and type of facility where classes are held. The overall classification accuracy of these variables in distinguishing these groups was 72.8%, and the discriminant equation generated in this analysis successfully classified 63.3% of those who did and 75.4% of those who did not re-enroll. The discriminant function coefficients for these variables are shown in Table 8.2. Examining group differences indicated that the ABE participants who were more likely to re-enroll in classes are: older adults, living in less urban areas who attend day classes taught at community colleges, vocational/technical institutes, and other non-traditional settings by teachers who individualize their instruction.

TABLE 8.2

DISCRIMINANT FUNCTION COEFFICIENTS DISTINGUISHING ABE STUDENTS ENROLLED IN BOTH SPRING AND FALL 1979

Characteristic	Standardized Canonical Discriminant Function Coefficient
Participant's Age	0.773
Mode of Instruction	-0.553
Project Location	-0.355
Day/Evening Class	0.315
Type of Instructional Facility	-0.263

The discriminant function related to re-enrollment in ABE is particularly interesting because of four participant-related characteristics entered into the analysis, only age contributes to the discriminant function. Ethnicity, important in distinguishing ABE, ASE, and ESL participants, sex, and immigrant status contributed little to the final function. The characteristics of the instructional setting were far more strongly associated with ABE participant re-enrollment, suggesting these are of prime influence on re-enrollment.

Early withdrawal of students is a relatively serious problem in adult education. The degree to which early withdrawal is a general problem for adult education is difficult to assess because goal attainment may not necessarily coincide in time with program completion. However, those who withdrew were less likely to reach their personal goals than those who remained (27.9% vs. 59.9%), so retention of a large majority of enrolled participants would appear to be a worthwhile objective.

C. Participant Goals and Results

The reasons participants enroll in adult education programs, the extent to which they accomplished their objectives, and other specific results for the participants from project attendance were also explored during the interviews. Responses in these areas provide some indications of program effectiveness as well as information useful for policy and planning at the local, state, and federal levels.

1. Participant Goals

The reasons participants enter adult education courses are both shaped by and play a role in shaping adult education programs. Interviewees were asked to describe the main reason or reasons they enrolled in adult education courses. Almost two-thirds (65.7%) of responses fell into one of three categories. The most frequently reported reason for enrollment was the desire to gain GED credentials, which was mentioned by almost half of the respondents (46.2%). Also frequently mentioned were the desire to gain basic reading, writing, and

mathematics skills (32.8% of respondents) and the desire to learn the English language (22.3% of respondents). More than half of the respondents (54.1%) gave more than one reason for enrolling, but when asked to describe the most important reason, over three-quarters of respondents (78.8%) gave one of the above three responses.

The desire to obtain GED credentials was the most important reason for enrollment for all major categories of respondents except for the elderly and those who were enrolled in ESL programs. Particularly likely to be represented among those seeking GED credentials were women, Whites, participants under 22 years of age, and individuals enrolled in ASE courses. Among those seeking to improve their basic skills, the following categories of people were proportionally overrepresented: men, Blacks, middle-aged and elderly people, and enrollees in ABE programs. Those seeking to learn English were largely Hispanics and Asians, individuals between the ages of 22 and 34, and enrollees in ESL programs.

In general, this information about participant goals indicates that goals are strongly related to enrollment in either ABE, ASE, or ESL programs and that participants enroll in the program most likely to help them reach their goals. For ABE participants, gaining GED credentials or basic skills are most important; for ASE participants, gaining GED credentials is most important; and for ESL participants, learning English is the primary goal.

2. Personal Goal Attainment

To examine whether participants believe adult education programs helped them reach their goals, they were asked whether they had successfully reached or were in the process of reaching what they had hoped to attain when they first enrolled. Participants gave generally positive responses to this question. Two-fifths of respondents (41.7%) reported that they had successfully reached their goals, and almost an equal number (38.0%) reported that their goals had been partially attained. Only a small number of participants (3.6%) said that they did not know whether they had reached their goals, and approximately one-sixth of respondents (16.6%) reported not reaching their personal goals.

A number of program and demographic variables appear to influence participant goal attainment. Of program variables, successful or partial goal attainment was more likely among individuals who had spent at least one year in the program rather than less time (85.6% vs. 75.9%), among current participants as opposed to former participants (89.4% vs. 74.0%), and among those who, according to project records, attended classes more frequently then their peers (90.1% vs. 74.1%). However, goal attainment was less likely among participants who attended classes in elementary schools, secondary schools, and adult learning centers than among those going to other settings (77.4% vs. 86.0%). The differential association between goal attainment and classroom setting is particularly interesting given the current emphasis in adult education on classes outside of school buildings.

The relationship between perceived goal attainment and type of adult education program (ABE, ASE, or ESL) was somewhat more complex. ASE participants were most likely to report successful goal attainment, but they were also most likely to report unsuccessful goal attainment. ESL participants, on the other hand, were most likely to report partially attaining their goals (see Table 8.3).

The data on the table suggest that the criteria ASE participants use to judge personal achievement (presumably passing the GED examination) are clearer than those used by ABE and ESL participants.

TABLE 8.3

PERCEIVED GOAL ATTAINMENT BY PROGRAM TYPE

Program Type	Goal Attainment (% of Respondents)			
	Successful	Partially Successful	Not Successful	Don't Know
ABE	44.1	36.2	15.7	4.0
ASE	49.2	28.0	21.3	1.6
ESL	23.7	57.5	14.0	4.8

Differences in perceived goal attainment were also related to certain demographic groupings. Females (who were overrepresented among the ASE sample) showed a pattern similar to that presented for all ASE participants. They were more likely than males to report both successful and unsuccessful goal attainment, while males were more likely to report partial goal attainment. Perceived goal attainment appeared to increase with the age of participant, with youth (who were also overrepresented among the ASE sample) least likely to report successfully or partially attaining their goals (74.0%). Perceived partial or successul goal attainment by participants increased with succeeding age ranges (age 22-34 = 78.5%; age 35-59 = 82.4%; age 60 and over = 94.4%).

Participants thus generally rated positively their levels of personal goal attainment. The absolute percentages of those satisfied and dissatisfied with adult education projects is difficult to specify given the nonrepresentative interviewee group. However, given the nature of respondents, it is likely that the overall adult education population would be somewhat less positive about their adult education experiences than the sample group. Nevertheless, given interviewee responses, it appears that special efforts aimed at retaining of already enrolled participants, encouraging their attendance, and using nonschool facilities for adult education classes may increase participant goal attainment.

3. Specific Outcomes of Adult Education Program Participation

In addition to questions about the general level of goal attainment, interviewees were also asked about certain specific outcomes of attending adult education classes. They were asked whether the program had helped them think better of themselves, read better, write better, work with numbers better, get along better with their family, get a better job, and achieve other life goals such as getting a driver's license or using a checking account.

Results from these questions, presented in Table 8.4, show participants were most likely to report that attending adult education classes helped improve their self-concept. This outcome was reported by nearly 84% of interviewees and is consistent with teacher and project director perceptions of participant gains reported in Chapter 5. Adult education teachers believed that students were most

likely to gain an improved self-concept from attending adult education classes. Project directors believed this was the second most likely area of gain. Thus, project directors', teachers', and participants' judgments in this area were quite consistent.

TABLE 8.4

SPECIFIC OUTCOMES OF ADULT EDUCATION CLASSES

Improved...	Yes (%)	No (%)	Don't Know (%)
Self-concept	83.7	9.6	6.7
Reading	74.6	22.3	3.2
Mathematics	69.0	27.3	3.7
Writing	66.2	29.0	4.8
Family relations	50.9	33.4	15.7
Life skills	25.1	61.8	13.0
Job position	17.7	68.6	13.7

In addition to an improved self-concept, over 50% of participants reported gains in the following areas: reading, mathematics, writing, and family relations. Thus, even though about 42% of participants reported successfully reaching their personal goals and 38% reported they were partially attained, there were a number of areas where well over 50% of them reported gains which result from attending adult education classes.

Only 17.7% of interviewees said adult education classes helped them get a better job, a finding which also is consistent with teacher and project director perceptions. Teachers and project directors felt that while projects contribute to participant gains in this area to at least some extent, participants are less likely to gain in this compared to other areas. The agreement between participant reports and the perceptions of teachers and project directors again suggests that teacher and project director perceptions are reasonably accurate and that these two groups are a source of reliable information about adult education programs.

Participant reports about gains relating to employment should be considered in light of other information which suggests the 17% figure may not accurately reflect whether adult education participants make job-related gains. As noted earlier, about 50% of participants had either a full or part-time job when interviewed. Indeed, only 7.7% of interviewees said one of the reasons they enrolled in adult education courses was to get a job, while 5.7% said they hoped to get a better job.

Future studies of the impacts of adult education should explore the relationships between these factors more carefully if they seek to assess the employment-related gains participants achieve due to adult education.

Just as data suggests that participants whose attendence at adult education projects is above average are more likely to achieve their goals, participants with above average attendence are more likely to report specific positive outcomes. Compared to adults with less than average or average attendence, those with above average attendence were more likely to report gains in: self-concept; reading, writing, and mathematics skills; and in the quality of family relations.

Lastly, participants were asked to describe the most important result of their attending adult education classes. Their six most frequent responses to that open-ended question and the percentages of respondents who provided each are shown in Table 8.5.

The responses to these various questions indicate that the stated goals of most adult education participants are being met at least partially. It also appears that ESL participants, especially, are gaining from their classes. Responses also indicate that participants are gaining basic academic skills as well as more self-confidence.

TABLE 8.5

OVERALL MOST IMPORTANT RESULT OF PARTICIPATION IN ADULT EDUCATION PROGRAM AS REPORTED BY ABE, ASE AND ESL PARTICIPANTS

	ABE (%)	ASE (%)	ESL (%)	Overall
Learning to Speak English	5.2	0	72.1	16.1
Learning to Read and Write	21.0	8.7	4.8	15.4
Increased Knowledge (unspecified)	13.9	16.6	7.7	13.4
Increased Self-confidence	11.3	19.4	3.4	11.6
Obtaining a GED	9.0	21.7	0.5	10.2
Learning Math Skills	11.4	11.1	0.9	9.5
Other Results	28.2	22.5	10.6	23.3
Number responding	700	253	208	1,161

D. FUTURE EDUCATIONAL PLANS

Preparing participants for additional training or schooling is considered by many to be an important goal of the adult education programs. Participants were, therefore, asked if they had plans for additional adult education or other training. These data indicate that adult education courses often do lead to other educational/training activities for participants.

More than half of the interviewees (56.6%) reported that they planned to enroll or were already involved in adult education courses at the time of the interview, and almost an additional quarter of interviewees (23.6%) reported that they did not know their future educational plans. The number indicating they were not planning additional training or education was rather low (17.5%), and many of these were elderly adults.

Of those who were planning to enroll or were enrolled in adult education courses (634 respondents of the 1,077 interviewed), over a third (35.3%) stated that they planned to enroll in Winter 1979-1980 courses while almost a quarter

(23.7%) stated that they planned to enroll in their next adult education course in spring, 1980. Almost a third of respondents (30.8%) were unsure of when they would enroll in their next adult education course. More than two-thirds (70.9%) of those who had plans stated that they would be continuing in the program they previously attended. This high re-enrollment rate may be based on a number of factors, including satisfaction with the program or lack of alternative educational programs.

Asked whether they planned other training or schooling besides adult education in the future, more than one-half of all respondents (58.1%) reported they had such plans, while almost one-quarter (23.3%) answered that they were uncertain about their educational plans. Plans for vocational/technical training were mentioned most frequently (29.0% of respondents), although plans for academic training were also frequently mentioned (25.6% of respondents).

E. USE OF AUXILIARY SERVICES

According to the 1978 Adult Education legislation, states must consider providing day care and transportation services to adult education participants when developing their overall state plans. Interviewees were asked, therefore, about the present level of use of several auxiliary services to adult classes.

Interviewees were asked if they had ever used or taken part in transportation, child care, or special social or cultural activities provided by their adult education program. Level of usage or participation in these activities was generally low. Only 1.9% of interviewees reported ever having used program-provided transportation services, only 1.2% of interviewees reported ever using child care services, and only 5.2% of interviewees reported attending special social or cultural activities. It is difficult to determine if this low level of usage is more attributable to the lack of available services, the lack of knowledge of available services, or the lack of need for services, although all of these factors probably play some part. Data from the project director

questionnaires indicate that such services are available at 26-56% of projects. Project directors also indicate, as noted in Chapter 5, that these services are not widely used.

Interviewees were also asked if they had ever received any assistance from adult education staff concerning personal or family problems or in finding jobs. These forms of support were also received relatively infrequently by participants. Approximately 11% of respondents reported receiving help with personal problems, and a much smaller number (4.2%) reported receiving help in finding a job. When help was received in these areas, however, participants felt it was fairly or extremely helpful 97.1% of the time.

F. PARTICIPANT ACHIEVEMENT AND SATISFACTION RELATED TO TEACHER TRAINING AND STYLE

Because the participants interviewed were selected only from adult education classes where the teacher was also interviewed, it was possible to cross-tabulate responses from the teacher questionnaire with those from the participant questionnaire and also to perform a series of step-wise multiple regressions. The relationships of teacher experience, training, certification, classroom help, and classroom style with participant retention and goal attainment were thus investigated.

The results were somewhat suprising in their lack of relationship between variables. Only two teacher variables were consistently related with participant responses. Both teachers who in the previous two years had participated in special coursework in adult education carrying college or university credit and teachers who had aides or volunteers to help them with their classes were more likely to teach participants who did not withdraw or reported positive outcomes. Teachers with previous coursework and those with aides had fewer withdrawals than other teachers (38.8% vs. 48.2% and 38.7% vs. 48.3%, respectively); they also had fewer participants reporting a lack of personal goal attainment (10.0% vs. 19.1%

and 9.7% vs. 19.2%, respectively); and they had more students reporting that they wrote better as a result of their classes (73.0% vs. 63.7% and 71.3% vs. 64.3%, respectively).

As noted in Chapter 6, adult educators have long debated the need of special certification in adult education for teachers instructing ABE, ASE, and ESL classes. The present data suggest special certification does not affect participant outcomes. The responses of participants whose teachers hold special certification did not differ in relation to early termination or outcomes from responses of other participants who had teachers without special certification. In addition, whether teachers instruct adult education on a full-time or part-time basis did not relate to the student outcomes reported.

The mode of classroom instruction which participants felt was most useful in helping them learn was also explored. Over one-half of the respondents (53.1%) reported that they preferred being in a group or class where a teacher was present, while approximately one-third (35.2%) preferred working alone with a teacher or teacher's aide, and only one tenth (11.7%) preferred learning by themselves with books or instructional materials.

It would be interesting to match participants' preferences to the teachers' pedagogical styles, but it was not possible here given the available information from teachers and participants. Furthermore, conclusions about preferred learning style must be made carefully since most participants have limited experience with varied instructional styles, and their responses are probably strongly influenced by the modes of instruction with which they are most familiar.

G. SUMMARY

This chapter reports information obtained from 1,177 participants who attended adult education classes in spring 1979. This group of interviewees provided information about their experiences in adult education classes, and was a subsample of the 3,061 randomly selected participants discussed in Chapter 7. Compared to the non-interviewees, interviewees were more likely to be White,

female, middle-aged or elderly, and to live in rural areas of the country. Information from interviews must be interpreted cautiously since less than 40% of sampled participants could be contacted for interviews. Thus, their responses may not be generalizable to the entire sample or population.

Respondents indicated that they were most likely to learn of the adult education program through a friend or acquaintance. To a lesser degree, they also learned of it through a teacher, recruiter or the newspaper.

Although participants enroll in adult education classes for a variety of reasons, several reasons were repeatedly mentioned by interviewees: the desire to obtain GED credentials, the desire to develop reading, writing, and mathematics skills, and the desire to learn to speak the English language. About 80% of respondents indicated that they were at least partially successful in achieving their personal goals from adult education classes. In addition, an equal proportion reported an increased amount of self-esteem due to their participation. A sizeable majority of participants also reported increased reading, writing, and mathematics skills, and half indicated that more positive family relations resulted from attending adult education classes.

Early withdrawal from classes is of major concern to adult educators. Data indicated nearly 50% of interviewees had stopped attending classes before a session's end. They were most likely to report that this was caused by employment conflicts, a personal or family illness, child care responsibilities, or lack of access to transportation. However, when asked about plans for further education in the future, about 57% of participants indicated they would like to continue their education in either the same or a different educational program.

Since data were gathered from participants as well as their teachers, responses from these groups were cross-tabulated to see whether teacher characteristics affected the gains participants reported or whether they remained in projects through their duration. Only two teacher variables were found to be strongly related to participant reports. Teachers who had recently completed coursework in adult education or who had aides in their classrooms were more likely to have participants who remained in the program and who reported achieving their personal goals.

Overall, it is difficult to be sure of the causal relationships among the teacher and student variables. Teacher training at the college or university level, for example, may lead to more effective classroom behavior and subsequently to improved student outcomes, but a number of other explanations are equally possible as well. It may also, for example, be that the more dedicated and energetic teachers have better classroom outcomes and are also more likely to attend university classes, and that the special college classes have little to do with the superior student outcomes. Assurance regarding such questions must await further, more controlled investigations.

CHAPTER 9

SPECIAL FEATURES OF THE PROGRAM IN THE COMMONWEALTHS AND THE TERRITORIES

In addition to the adult education programs administered by the 50 states and the District of Columbia just discussed, the Adult Education Act authorized funding for adult education programs in the United States' territories: the commonwealths of Puerto Rico and Northern Marianas, and the territories of American Samoa, Guam, the Trust Territories of the Pacific, and the Virgin Islands. Under the Act, Puerto Rico is treated as if it were a state and is required to provide 10% of the funds for its program. The other five areas, however, are not required to provide any additional funds to the federal monies they receive for adult education.

A number of characteristics in addition to their lack of statehood distinguish these areas from the 50 states. These characteristics are noted here because they affect how adult education programs in these jurisdictions operate and the types of educational opportunities they provide. Table 9.1 supplies an overview of the characteristics of these areas which can be summarized as follows.

- Each of these is an island area. Although Puerto Rico and the Virgin Islands are located in close proximity to the continental United States, American Samoa, Guam, Northern Marianas, and the Trust Territories are located several thousand miles away in the Pacific Basin.

- Only Puerto Rico and Guam are distinct islands. The other areas include up to 97 widely dispersed islands.

- Each of these outlying areas has distinct cultural and linguistic characteristics. Spanish, rather than English is Puerto Rico's official language. In the Pacific islands, official languages include English, the only language common among all, and approximately nine island languages.

- The education systems in these areas are structured differently than those in the states. Each has a centralized school system. The individual who serves as the adult education director in each jurisdiction functions in ways which are equivalent to both a state director and a local project director.

- The funding pattern for adult education programs in each area except Puerto Rico differs from that used with the 50 states. The amount available for SEA functions is $25,000, one-half the minimum given to states.

TABLE 9.1
GENERAL DESCRIPTION OF
THE COMMONWEALTHS AND TERRITORIES

	AMERICAN SAMOA	GUAM	COMMONWEALTH OF NORTHERN MARIANAS
GEOGRAPHY AND POPULATION	Six inhabited islands approximately 2,300 miles southwest of Hawaii. Total area 72 square miles. Total population (1970 census): 27,159, (1978 estimate): 31,171. Capital is Pago Pago, located in Tutuila the largest most populated island (52 square miles). The other islands are Rose, Nunuu, and the three Manua Islands.	Southernmost and largest of the Mariana Islands, located approximately 3,300 miles west of Honolulu, Hawaii and 1,500 miles east of Manilla, Philippines. Guam is 30 miles long, 4 1/2 to 8 miles wide; total area is 209 square miles. Total population (1970 census): 84,996, (1975 estimate) 105,400. Capital is Agaña.	Includes all the Mariana Islands except Guam. Located 3,000 miles west of Hawaii; total area is 181 square miles. Total population (1970 census): 13,381, (1977 estimate): 16,260. Capital is Saipan.
GOVERNMENT	Became U.S. territory in 1899. Current status: unincorporated territory administered by Department of the Interior; inhabitants classified as U.S. nationals (no U.S. citizenship). Has an elected governor, a bicameral legislature, and a non-voting delegate to the U.S. House of Representatives.	Purchased from Spain in 1898. Current status: unincorporated territory administered by Department of Interior; inhabitants are U.S. citizens but cannot vote in national elections. Has a governor elected every four years and a 21-member unicameral legislature elected every two years. Governed under the Organic Act of Guam of 1950. Guam has a non-voting delegate to the U.S. House of Representatives.	Part of the U.S. Trust Territory from 1947 until 1976 when the Islands were granted U.S. Commonwealth status. Inhabitants are U.S. citizens. Elected governor and congress. U.S. controls defense and foreign relations.
CULTURE AND LANGUAGE	Languages: Samoan and English. Polynesian village and chieftan society.	Languages: English is the official language; Chamorro spoken by 1/3 of the population, some Filipino. Spanish cultural background. Approximately 1/3 of the population migrated from Philippines.	English is the official language. Inhabitants are descendants of Chamorros, Spanish, Filipinos, and Japanese.
ECONOMY AND WORK	Chief exports are fish products, copra, fruits and handicrafts.	U.S. Naval and Air Force bases are located on Guam. Approximately 45% of the work force is employed by Guam government. Construction and a rapidly growing tourist trade are also important. Almost all products are imported.	Produce sugar, cotton, coconuts, tobacco, coffee, maize, and rice. Tourism from Japan.
EDUCATION	Has a Department of Education which operates the public education system. Education is compulsory from ages 6 to 18. English is the official language of instruction. Both Samoan and English are taught in the public schools. Educational T.V., introduced in 1964, is a major medium of instruction in the public schools and for Adult Education. American Samoa Community College administers the Adult Education program.	Thirty-nine percent of the total government expenditures are on education. School attendance is compulsory. English is the language of instruction in the public schools, but Chamorro language and cultural studies are also mandated by the Guam Department of Education. Guam has two higher educational institutions: University of Guam, and Guam Community College.	See Trust Territories

TABLE 9.1
— Continued —

	VIRGIN ISLANDS	COMMONWEALTH OF PUERTO RICO	TRUST TERRITORIES
GEOGRAPHY AND POPULATION	Three main islands (St. John, St. Croix, St. Thomas) plus a few smaller ones; 70 miles east of Puerto Rico, 1,000 miles southeast of Miami. Total land area of 133 square miles. Total population (1978 estimate): 100,000; 85% black, 15% white. Capital is Charlotte Amalie on St. Thomas.	Located in the northeastern end of the Caribbean Sea, 70 miles west of the Virgin Islands. Puerto Rico is a hilly, tropical island with an area of 3,426 square miles. Total population (1970 census): 2,712,033, (1980 estimate): 3,000,000. Capital is San Juan.	Approximately 97 islands spread over 3 million square miles of the Pacific Ocean, generally located east of the Philippines and west-southwest of Hawaii. Total population (1970 census): 115,000, (1977 est.) 126,440.
GOVERNMENT	Purchased in 1917 from Denmark. Has elected governor and 15-member unicameral house. Has one non-voting delegate to the U.S. House of Representatives. Bureau of Customs administers the budget and fiscal affairs. Residents of Virgin Islands are U.S. citizens.	Ceded by Spain to the U.S. in 1898. Became a self-governing Commonwealth freely associated with the U.S. in 1952. Has an elected governor, legislative assembly, and a non-voting commissioner to the U.S. House of Representatives and 10 executive departments. Residents are U.S. citizens but do not vote in national elections, although they do vote in primary elections.	United Nations Trusteeship assigned to the U.S. in 1947, administered by the Department of Interior. Organized around 6 districts: Marshall Islands, Kosrae, Palau, Panope, Yap, and Truk. High Commissioner appointed by the U.S. President. Congress of Micronesia elected, comprising 12-member Senate and 21-member House. Headquarters located at Saipan in Northern Marianas. Commenwealth free-trustee status is under consideration.
CULTURE AND LANGUAGE	Diverse cultural background; major ethnic groups are the West Indians and the Chachas. Fifty percent of St. Croix's inhabitants are Puerto Rican. Major language is English; Spanish second, with other European languages and island dialects in use also.	Primarily Hispanic culture; population is a blend of Spanish, native Indian and African peoples. Society is primarily bilingual, with Spanish the official language, and English taught in the schools.	Society consists of 9 cultural groups, each with its own language. Traditional village, culture. Official languages: Nine island languages plus English; English is the only language common among all the islands.
ECONOMY AND WORK	Tourism is major industry (approximately 1 million people per year). Petroleum, rum, watch assembly, and textiles are also significant. St. Thomas is the main commercial center. St. John is a U.S. National Park.	Tourism (over 1 million visitors per year) and manufacturing are major industries. Exports include chemicals, textiles, fish, petroleum products, and apparel. Five percent are employed in agriculture; mainly sugar, coffee, and fruit. High unemployment -- 22%.	Generally an import economy; however, copra, fish, and handicrafts are exported.
EDUCATION	Centralized public school system with a Department of Education and 2 school districts (St. Thomas/St. Johns, St. Croix), with a superintendent of schools for each district. There are 26 elementary schools, 5 secondary schools, and 1 institute of higher education.	Compulsory education -- ages 6-16. Commonwealth Department of Public Instruction with a Secretary of Education and 7 regional offices. Over 100 school districts, each with a superintendent. Title 3, section 141 of constitution authorizes Secretary of Education to establish adult education classes. The Department of Education operates 17 T.V. stations with public channels used in adult education. Median school years of adults is 7 years	Nineteen percent of the budget goes toward education. One institute of higher education, Community College of Micronesia.

Over the past 16 years, the federal government has provided over $20 million under the Adult Education Act for developing and establishing programs in these six areas. In 1964, the Act authorized grant allotments not to exceed two percent of all appropriations for the territories and Puerto Rico, but only Puerto Rico and the Virgin Islands actually received funds during 1965 and 1966. Beginning in 1967, all those areas were funded.

In 1974, revisions of the Act changed Puerto Rico's status so it would be treated under the Act as if it were a state. The 1974 amendments also reduced the total allocation designated for the remaining territories to one percent of appropriated funds. In 1979, the Northern Marianas Islands were separated from the Trust Territories for funding purposes.

Information about federally-funded adult education programs in the Pacific Basin and the Caribbean was gathered from adult education directors and other program staff in these areas during site visits made to each program. At each site, data were gathered from program directors using the same questionnaire and interview guide as used in the states, but with the understanding that items not relevant in these contexts would be skipped.

A. TARGET POPULATION AND NUMBER SERVED

Estimates of the need for adult education programs in the commonwealths and territories are shown in Table 9.2. Although the estimates from the National Center for Education Statistics (NCES), which are the basis of the federal funding allotments, differ somewhat from the estimates of some of the program directors, the data from both sources suggest that 1.2 million people, or about 41% of the total population in the areas, are eligible and would benefit from adult education projects.

In FY 1979, about 71,844 adults or 5.8% of the target population estimated by program directors participated in adult education programs throughout the islands, and this number is expected to rise to 75,000 in FY 1980 (see Table 9.3).

TABLE 9.2

TARGET POPULATION OF THE COMMONWEALTHS AND TERRITORIES: ESTIMATED SIZE

	Total Population[1]	NCES AE TARGET Population[2]	AE Directors Estimate of Target Population[3]
TOTALS	3,015,037	1,274,366 (42)	1,237,947 (41)
American Samoa	27,159	9,511 (35)	9,593 (35)
Guam	84,996	21,162 (25)	5,000 (6)
No. Marianas Islands	13,381	3,205 (24)	5,000 (37)
Puerto Rico	2,712,033	1,184,103 (44)	1,147,354 (42)
Trust Territories	115,000	33,490 (29)	36,000 (31)
Virgin Islands	62,468	22,895 (37)	35,000 (56)

Notes:

1. Based on 1970 Census.

2. National Center for Education Statistics (NCES) estimates of the target population, 18 years of age or older and without a high school diploma.

3. Estimates of the target population by adult education directors.

TABLE 9.3

TARGET POPULATION OF THE COMMONWEALTHS AND TERRITORIES: NUMBER AND PERCENT SERVED, AND COST, FY 1979

	Estimated Target Population	Number Served	Percent Served	Total Allocation	Cost Per Participant
TOTALS	1,237,947	71,844	5.8	2,491,139	$ 35
American Samoa*	9,593	330	3.4	139,265	$422
Guam	5,000	1,250	25.0	244,720	$196
No. Marianas Islands	5,000	250	5.0	70,089	$280
Puerto Rico	1,147,354	63,104	5.5	1,583,639	$ 25
Trust Territories	36,000	3,960	11.0	259,918	$ 66
Virgin Islands	35,000	2,950	84.2	193,508	$ 66

*Enrollment for American Samoa in 1978-79 was untypically low due to the turnover of all administrative staff associated with the program. FY 80 enrollment was reported as 541, with a per participant cost of $257.

Enrollments in Puerto Rico account for 88.5% of the number participating, with the balance ranging from a low of 250 participants in the Northern Marianas to a high of 3,960 in the Trust Territories. Enrollment for American Samoa in 1978-79 was reported to be untypically low that year, 330 participants, due to the turnover of all administrative staff associated with the program. FY 80 enrollment was reported as 541. The five areas excluding Puerto Rico reported reaching 8,198 persons in FY 1979, which is slightly less than the adult education enrollment in the State of Arizona.

Programs in these island areas enroll between 3.4% and 25% of their target populations. Generally, they serve a greater proportion of the target population than programs operated by the states. Enrollment in the latter programs was largely between 1% and 4% of the target population (see Chapter 4).

The U.S. national average federal cost per participant, as estimated in Chapter 4, is $46. In comparison, the costs in the Commonwealths and Trust Territories ranged from $25 in Puerto Rico to $422 ($257 in FY 80) in American Samoa, with an overall federal cost per participant of $35. This figure compares favorably with costs in several of the Federal Regions and is lower than the national average.

Data on participant characteristics, similar to those reported in Chapter 7, were not gathered on adults in these island areas. However, selected participant data were available from site visits to three of the Pacific Basin areas: Samoa, Guam, and the Trust Territories. In those three areas, participants were more likely to be employed females who were 16-35 years old and attended the program 2-4 nights per week in the evening. Nearly 90% of those participants were characterized as limited English speakers and enrolled in ESL programs.

B. PROGRAM GOALS

The broad priorities established for all educational programs for adults in the Pacific Basin and Caribbean are fairly consistent with the needs and social conditions of these areas. In the Virgin Islands, the priorities in rank order are: (1) basic educational courses leading to high school completion; (2) general interest courses, which are important to obtaining tourism-related employment e.g., driver education, crafts, conversational French and Spanish; and (3) work-related courses emphasizing vocational and technical training. American Samoa, Guam, and Puerto Rico report that work-related vocational courses are their first priority, followed by basic education courses. Basic education

courses on the other hand, are the first priority in the Northern Marianas, Trust Territory, and the Virgin Islands.

Within the adult education program, the program directors report that their number one priority is to help participants gain basic knowledge in reading, writing, and mathematics. Of 11 goals they rated, this received the highest endorsement (Table 4.4 in Chapter 4 lists these goals). Other goals which were rated important as well are: increasing competency in the English language; increasing self-confidence of participants; enabling completion of GED; increasing ability to cope with adult life roles; obtaining employment; and obtaining better employment and salary increases.

To amplify the ratings, directors were also asked which of the 11 goals are most important in their programs. In Puerto Rico and the Virgin Islands directors reported that enabling completion of the eighth grade is the most important goal while obtaining basic knowledge is second most important. In the Pacific Basin programs, obtaining the GED, increasing English language skills, and obtaining employment are the most important program goals.

In the Pacific Basin, these priorities fit both the intent of the Adult Education Act and a general trend in these islands to improve language skills and to increase the number of people who have the equivalent of a high school education. English skills are important since it is a requirement for many jobs and tourist-related employment is becoming increasingly important in these areas. Completing high school carries a great deal of personal and social prestige.

C. ORGANIZATION AND STAFFING

The Director of Adult Education in the Northern Marianas administers adult education programs in many districts, does substitute teaching, opens up the main adult education center and closes it at night when classes end.

The administrators in the Trust Territories face the challenge of providing educational services to hundreds of islands stretching over an area roughly 3,000 by 2,000 miles. Only one adult education director supervises the three-island program in the Virgin Islands. But in Puerto Rico, there are 23 full-time staff in the central office of the department of education, and there are 21 regional administrative staff working in seven regional offices on the island, with five to seven of these staff paid by the federal Adult Education Act.

Adult education programs in the commonwealths and territories are centrally organized and administered. Although, the size and organizational structures of education agencies within the six island areas vary significantly, the director of adult education in each administers the overall grant program and directs the "local" projects.

The Trust Territories of the Pacific, for instance, has a Director and an Assistant Director of adult education in Saipan. Each of the six island districts (Kosrae, Marshalls, Palau, Ponape, Truk, and Yap) also has a director. The headquarters for the newly formed Federated States of Micronesia will eventually be moved to Ponape, since Saipan is officially part of the Commonwealth of the Northern Marianas. Onsite visits and telephone communications to the six districts are used very little by the central staff due to high costs of travel and an inefficient government telephone system.

In American Samoa, with its six islands, the adult education program is administered by the American Samoa Community College. In Guam, the community college also operates the adult education program. America Samoa, Guam, and the State of North Dakota are distinctive in that the adult education program is administered by an institution of higher education rather than by territorial or state governments.

In American Samoa, the community college's Assistant Dean of Adult and Vocational Education directs the adult education program. Three supervisors/teachers staff three sites on the main island of Tutuila. In Guam, the Dean of the Division of Careers and Public Services at the Guam Community College is the director. A staff of six administrative, training and curriculum

specialists assist the Dean in administering the program and in providing assistance to the 71 part-time instructional staff.

The geographical dispersion of staff and transportation costs make conducting staff development and teacher training activities extremely difficult. Except in American Samoa, these programs provide very little teacher training. However, there are cases where organizational structures and staffing patterns have been designed to overcome problems caused by geographical isolation. The Virgin Islands' organizational plan for adult education illustrates one workable approach to this problem.

The program (see Figure 2) is centrally administered from the Department of Education in Charlotte Amalie, the capital. Authority for coordination, staff development and related functions is placed with the local project administrator, who in most cases, is the regular day school principal. One of the primary reasons for placing greater responsibility on the local administrator is the lack of accessibility and the geographical distance between the three major islands. Table 9.4 shows the number and types of facilities where classes are held as well as the number of full-time and part-time staff.

TABLE 9.4

VIRGIN ISLANDS ADULT EDUCATION STAFF AND NUMBER OF ADULT EDUCATION FACILITIES BY ISLAND AND BY PROGRAM

	ABE		ASE		Correctional AE	
Island	# Facilities Evening	# of Staff	# Facilities Day	# of Staff	# Facilities Day	# of Staff
St. Thomas	4	44	1	40	1	6
St. Croix	3	42	1	25	1	3
St. John	1	3	-	-	-	-
Totals	8	89	2	65	2	9

With exception of the distances between islands, the Virgin Islands program could be compared to a large metropolitan LEA program. Each part-time staff member works an average of six hours a week. Only the two Adult Day High School project coordinators and the Virgin Islands' Director of Adult Education are considered to be full-time staff.

In Puerto Rico, the adult education program is also centrally administered by the Department of Public Instruction in the capital of San Juan. Within the SEA, the Adult and Community Education Division provides general direction to all programs other than vocational education and the regular K-12 program. As described in the Puerto Rican agency's organization chart, the Director of the Educational Programs and Services Component, with the help of 23 full-time professional staff provides direct administrative support and guidance to eight specific adult education programs. These are: Adult Basic Education, Adult Secondary Education (High School), English for Adults, GED Testing Services, Educational Service Centers, Public Libraries Program, Right to Read, and Televised GED classes (Educacion a Distancia).

All programs are planned, delivered, coordinated, and evaluated through seven Regional Offices of the Department of Public Instruction. Each Regional Office is administered by a Regional Director, who in turn relates to the superintendents in the various districts located in the region. Currently, there are 101 school districts in Puerto Rico with no autonomony or local control. Local school districts are not empowered to levy taxes, and all staff positions are appointed by the Central Office in San Juan. Local School Boards are non-existent.

Consistent with the centralized administrative structure of the adult education programs, in Puerto Rico and most other areas local activities are funded through an overall budget with specific allocations determined at the Commonwealth level.

D. FINANCIAL RESOURCES AND FUNDING

The Adult Education Act stipulates that the Virgin Islands and the Pacific Basin jurisdictions receive 100% federal funding from the Grants to States program. Thus, the 10% matching fund requirement of the 50 states and Puerto Rico is not applied. Overall, for these five jurisdictions, the total federal allocation comprises 1% of the total federal appropriation for the Grants to States program.

Since 1965, the six jurisdictions in the Pacific and Caribbean have received over $20 million in federal adult education funds. Over that period, the allotments have fluctuated somewhat from year to year because of changes in legislation, the availability of accurate target population statistics, and regulations. Table 9.5 presents a summary of the fifteen year history of federal funding.

TABLE 9.5

SUMMARY OF GRANT ALLOTMENTS IN ADULT EDUCATION TO THE COMMONWEALTHS AND TERRITORIES: FY 65 - FY 80

	FY 65	FY 70	FY 75	FY 80*
TOTALS	356,240	800,000	1,496,415	2,743,661
American Samoa	-0-	8,000	79,863	139,265
Guam	16,000	48,000	139,762	244,720
No. Marianas Islands	N/A	N/A	N/A	73,172
Puerto Rico	324,240	648,000	1,037,200	1,743,661
Trust Territories	-0-	64,000	159,727	313,451
Virgin Islands	16,000	32,000	79,863	229,392

*FY 70 - 2% of Total Federal Allocation = $800,000.
FY 75 - Puerto Rico defined as State, along with Washington, D.C.
FY 77 - Changed to 1% of Total Federal Allocation for all but Puerto Rico.
FY 80 - No. Marianas Island added.

As discussed in Chapter 4, the states each receive approximately 5% of their allotment or a minimum of $50,000 for the cost of state administration. Excluding Puerto Rico, which is treated as a state, in FY 1980 the minimum amount each commonwealth and territory may receive to administer their programs is $25,000. This figure is a $14,000 reduction per program from 1979 to 1980, and is one-half of the amount provided to any of the 50 states, even though several of the commonwealths and territories receive federal allotments equal to several of the states.

Because of their centralized administrative structures, none of the six island programs receives or funds proposals for local instructional projects. Puerto Rico and the Virgin Islands, however, report they are planning to implement such a procedure in 1980. Guam will begin requiring local projects to contribute to the costs of operating their program.

E. INSTRUCTIONAL SETTINGS AND APPROACHES

A variety of public and private facilities and local sponsors are used when providing adult education. The most common instructional settings used by these programs are: public school buildings, community colleges, and correctional institutions. Guam and American Samoa do not offer classes at elementary schools. However, they do use military installations, adult learning centers, and high schools. Selected community centers are used in the Trust Territories.

Educational television, directly operated by the departments of education in Puerto Rico, American Samoa, Guam, and the Northern Marianas, represents one of the most dramatic developments in instruction in adult education in the last two decades.[1/] For example, in Puerto Rico, GED instruction is offered by ETV through the Department of Education. The series, "Abriendo Caminos," focuses on preparing the individual for the GED examination. Anyone who has completed

1/Adult education classes are also televised by some local projects in the 50 states. This strategy was used at several sites visited during this study.

eighth grade may enroll in the GED/ETV series at any adult education center. The participant receives materials for 100 lessons which accompany the 20 weeks of televised classes. The participant may also receive personal assistance at any educational service center, public library, or local adult education program in the community.

In 1979, 18,392 individuals chose this method of instruction to prepare for the GED examination in Puerto Rico. The televised classes are broadcast by public television stations that reach every corner of the island. Telecasts occur during the prime evening hours so that most individuals may watch the 30-minute classes in Mathematics, English, Spanish, Natural Science, and Social Studies. The entire GED/ETV course is in Spanish.

F. PLANNING AND INTERAGENCY COOPERATION

Participatory planning activities leading to the development of the new three-year "state plan" are utilized by these programs. All of them report adopting a participatory planning approach in some form in 1979. In the Trust Territories, participatory planning was conducted locally in six islands only, but the results were not available for inclusion in the plan submitted to the DAE. Generally, directors reported little to moderate use of and benefit gained from participatory or interagency involvement in planning activities.

A number of the programs, agencies, and organizations described in the adult education legislation which should be involved in planning either do not exist or are administered by the same individual or agency. The only formal arrangements for interagency coordination reported by the directors in the commonwealths and territories are with television stations, mental health agencies, vocational rehabilitation agencies, and correctional institutions. All other programs have informal arrangements with health services, social sevices, and anti-poverty agencies.

Puerto Rico reports a high level of cooperation between the adult education program and other Commonwealth agencies. For example, the Department of Labor pays for 2,000 CETA employees (high school students) to attend an intensive two-week literacy course. These students then spend the summer tutoring and teaching ABE participants in their own community. Fifteen Commonwealth agencies allow release time during working hours for employees who choose to attend conversational English classes. The Department of Social Services also organizes WIN participants into classes which receive intruction from adult education teachers.

G. INTERACTIONS BETWEEN THE DIVISION OF ADULT EDUCATION AND OUTLYING AREAS

The patterns of interaction between DAE and the Caribbean area and between DAE and the Pacific Basin are quite distinct. Contact with Pacific Basin programs can be problematic for DAE or any Washington-based agency because these Pacific areas are located so far from the continental United States. Telephone service to parts of the area has become reliable and offers at least one dependable avenue of communication to the area.[2/] Mail service, however, is slow. Deliveries, under favorable circumstances, are likely to take two weeks to arrive from Washington. Indeed, program staff in the Pacific area reported that in some instances they had received communications after deadlines for response had passed. In addition, travel either to or from the region is expensive. This reduces the feasibility of DAE staff visiting Pacific area programs even though the programs themselves desire such visits. Given these circumstances it is hardly surprising that the Pacific Basin adult education program directors reported that they have received little or no assistance of a non-financial nature from DAE since the use of regionally-based program officers was discontinued.

2/ Telephone communication with American Samoa is excellent, with Guam is reasonably good, but with Saipan quite difficult.

Interactions between the Division of Adult Education in Washington and the Caribbean programs are markedly different from those in the Pacific. Program directors in Puerto Rico and the Virgin Islands are in regular contact with DAE, although no one from DAE has visited the island for over a year. They regularly receive written communications from Washington and speak with DAE every month by telephone. The two directors reported they were pleased with the level of support they received from DAE when developing their three-year plans, and that the support and regular contact have continued since that time.

H. DIFFERENCES AND SIMILARITIES AMONG ADULT EDUCATION PROGRAMS IN THE COMMONWEALTHS/TERRITORIES AND THE STATES

The degree of administrative centralization is a major difference between state operated programs and those administered by the territories and commonwealths. As noted earlier, the outlying areas have no administrative counterpart to the local education agency, and they do not solicit or fund grant applications from local agencies to operate adult education projects. Rather, classes are established and receive salary and material support directly from the central program office, operating in much the same way as large local projects in the states. Consequently, local centers and classes in these areas are not required to make local contributions to their adult education budgets, although Guam is contemplating such a requirement. They do, however, provide facilities and certain other types of in-kind contributions.

Given the degree of administrative centralization, it is somewhat ironic that the maximum amount allowable for central program administration in the commonwealths and territories is half the amount allowed for the states. The 1978 adult education amendments stipulate that the minimum amount for administration in these areas, except Puerto Rico, should be $25,000, and this is the level at which they are funded. The states of Alaska, Delaware, Nevada and Wyoming receive almost the same amount of federal funds for their adult education programs as Guam and the Trust Territories, and serve approximately the same

number of participants.[3/] However, these states receive $50,000 for administration, twice the amount these island jurisdictions receive.

In addition to geographic setting, administrative structure, and financial resources, the characteristics of the target populations in the commonwealths and territories differ drastically from the target populations in the 50 states. Many adults in the outlying areas need literacy skills in their native languages, while second languages other than English are needed for employment and survival in unique bilingual and trilingual communities. For example, Japanese is spoken in parts of the Northern Marianas and Guam, while French and other European languages are useful in the tourism-oriented areas of the Virgin Islands. In contrast to the states, where ESL programs serve approximately 18% of the adult education participants, over 90% of the participants in the commonwealths and territories are in ESL programs which are likely to include ABE. There are also some feelings in the Pacific area that other languages should be taught in addition to English (i.e., just as Spanish actually is the predominant program language in Puerto Rico).

Although there are differences, there are important similarities among programs in the outlying areas and the 50 states. First, the adult education programs in the states, commonwealths, and territories include a major emphasis on ABE and ESL with secondary emphasis on ASE programs. Also, these ABE, ESL, and ASE programs are operated in a variety of settings, e.g., public schools, community colleges, community centers and correctional institutions, similar to those used in the states.

Second, the need for adult education programs in both areas is great. Approximately, one-fifth of the total population of the 50 states and the District of Columbia is eligible for the adult education program, while two-fifths of the total population in the commonwealths and territories are eligible. Moreover, the resources available at the federal, state, commonwealth and territory levels are scarce and far exceeded by the need.

[3/] Delaware reports reaching 2,000 participants, Montana reports 2,550, Nevada reports 2,112, and Wyoming reports reaching 2,000 participants. The Trust Territories report serving 3,960 adults, the Virgin Islands report 2,450, and Guam reports serving 1,250.

Third, adult education directors in the states and outlying areas report that transportation and related support services are needed by a significant number of participants in their programs. Unlike most states, however, the program in Puerto Rico provides transportation for participants who attend ABE or ASE classes in the evenings or on Saturdays. Under informal agreements between the local program director or superintendent and the local municipality that owns, operates, and maintains the school buses, the adult education program pays for two to three hours of a bus driver's time and the other expenses incurred by the municipality for gas, oil, insurance, and maintenance. Other programs in the commonwealths and territories do not provide transportation or other support services, such as child care. The problems in providing these support services are very much the same in these areas as in the 50 states.

Fourth, all programs report difficulties in enrolling and keeping hard-to-reach, less educated adults in adult education classes. Outreach programs are reportedly only partially successful with this segment of the population.

I. SUMMARY

Since 1964, over $20 million has been alloted to adult education programs in the U.S. commonwealths and territories in the Pacific and Caribbean. Of the slightly more than three million people in these areas, 41% (1,237,947) are estimated to be eligible for and in need of the program. Of these, an estimated 5.8% (71,844 adults) participated in the program during FY 1979.

With respect to program planning, the directors in each of these areas reported adopting some form of participatory process in 1979. There are, however, limited numbers of agencies with which programs can work, especially in the Pacific Basin. Nevertheless, programs have formal ties to television stations, mental health and vocational rehabilitation agencies, and correctional institutions. Some programs also work with health service, social service, and anti-poverty agencies.

A number of important characteristics distinguish adult education programs in the commonwealths and territories from those in the 50 states. First, the commonwealths and territories, with the exception of Puerto Rico, are treated under the Adult Education Act differently than states. The entire allocation for the five locales is one percent of funds appropriated for the Act. Each area receives $25,000 for administrative expenses, one-half the minimum amount provided states, even though the number of participants in some territories equals the enrollment levels of some states.

Second, administration of adult education programs in the commonwealths and territories, including Puerto Rico, is centralized. The program director and staff perform tasks assumed in a state by both the SEA and LEAs. A central administrative office directly funds local centers and classes or operates these projects itself.

Third, there are large cultural differences between these areas and the rest of the United States itself. These differences are reflected in the languages of the areas as well as the economic structures of their societies. Many areas are bilingual, even trilingual.

Fourth, the Pacific areas are thousands of miles from the continental United States. This lessens opportunities for contacts with the Division of Adult Education because travel expenses are high. Mail service is also poor, a factor which further hampers communications. Yet, programs in this Pacific Basin area would like more contact with federal adult education officials. For the past year there has been regular, monthly telephone contact between DAE in Washington and the directors in Puerto Rico and the Virgin Islands. This contact has been greatly appreciated and has made the directors feel much more a part of the program. The same practice could be tried with most of the Pacific directors at little cost.

While there are differences, there are also similarities between the outlying areas and the 50 states. As in the states, the need for adult education on the islands is great; the programs emphasis are on ABE and ESL, although ESL is a larger component than in the states; and there are problems in recruiting and

retaining the least educated adults. Like programs in the states, programs in the commonwealths and territories hold classes in a variety of instructional settings. Some programs also provide instruction via television with Puerto Rico, especially, making strong use of this instructional approach. Also like the states, transportation to classes and other supportive services pose serious problems which need to be overcome.

CHAPTER 10

STUDY SUMMARY AND CONCLUSIONS

The study began with the purpose of providing an analytic description of the State-Administered Program. Underpinning the study design were several broad questions and a related conceptional model of the major program elements. In the preceding chapters, data have been presented in these terms. In this concluding chapter, data will be summarized and conclusions drawn in terms of what has emerged over time as ten issues or topics of major concern to the field.

In preparing these summaries and drawing these conclusions, we have chosen to go somewhat beyond a repetition of data-based findings. As part of the study, DA conducted an extensive review of literature and available data, conducted special substudies of the state planning process and of the programs in the commonwealths and territories, interacted closely with the National Advisory Council of Adult Education and with DAE, and attended several meetings of state directors of adult education. It was judged important in preparing the overall summaries and conclusions to include this wealth of insight and information.

1. Continuing Need for Adult Education Services

The purpose of the Adult Education Act is "to expand educational opportunities for adults and to encourage the establishment of programs of adult education." The program's target population as defined by current legislation covers all individuals over the age of 16 who lack sufficient basic educational skills to function effectively in society and who are not currently required to be in school (Sec. 303 of P.L. 91-230, as amended).

Estimates of the size of the program's target population vary according to the criterion used. In 1977, the Department of Health, Education, and Welfare reported that it included 52 million adults, 15 million below the eighth

grade level and another 37 million without high school diplomas.[1] Another assessment, based on the Adult Performance Level study, found that one-fifth of all adults lack the skills and knowledge needed to function competently in society and an additional one-third perform with only marginal success.[2] Still another criterion which has been accepted by the Department of Education is a measure of functional literacy using the National Assessment for Educational Progress' reading test; one in eight 17 year-olds are reported to fail this test.[3]

Using their own operational definitions for this study, each state director of adult education provided the best available estimate of the size of their state's target population.[4] This yielded a national target population estimate of 49.3 million adults in the 50 states and the District of Columbia. One-third of the states reported more than one million adults in their target population.

According to the state directors, between July 1978 and June 1979, adult education programs served slightly over 1.93 million adults, about 4% of their estimated target population. This represented a 17% increase over the number reported as served the previous year, and for fiscal year 1980 the directors estimated the number served would exceed 2 million.

Local project directors also reported a discrepancy between the numbers served and those in need. Overall, they estimated that 16% of the adults in their service areas who are disadvantaged due to an inadequate basic education and who would benefit from an adult education program are enrolled in their

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1/ Education Division, DHEW. "Renewal Education Report: Adult Education Act, 1977" mimeo. p. 23.

2/ Buel R. Lyle. Final Report: The Adult Performance Level Study. Austin, University of Texas, 1977. p. 41.

3/ "Renewal Evaluaton Report," op. cit., p. 23.

4/ Thirty-eight directors used the 1978 federal legislative definition, seven used the federal definition used in allocating funds, and six used the National Advisory Council on Adult Education's definition of "demand population."

programs and only 7% participate in some other educational program. Three-quarters of those they define as being in need do not participate in any educational program at all.

Representatives from other community agencies working with disadvantaged adults also reported that the need for adult education services is hign. When asked for the percent of educationally disadvantaged adults with whom they work that participate in educational programs, they reported that 21% were enrolled in local adult education projects, 27% were participating in some other educational program (e.g., CETA, community college, etc.), and 52% were not in any educational program at all.

In conclusion, there are various estimates of the number of educationally disadvantaged adults eligible for and served by federal as well as other adult education programs. Nevertheless, regardless of the definitions and criteria used, it is clear that many adults are being served but that there is a large, unmet need for additional services.

2. Clarity of Program Purpose

The general legislative purpose of the program calls for the expansion of educational opportunities for adults and encouragement of adult education programs. The somewhat more specific, stated goals of the legislation are: (1) to enable undereducated adults to become more independent, (2) to help undereducated adults to increase their ability to benefit from occupational training, (3) to enable undereducated adults to better meet their responsibilities, and (4) to increase opportunities of undereducated adults to gain more productive and profitable employment. Consistent with the program's origins in the war on poverty, the Congressional emphasis is on educating disadvantaged adults as a strategy for enhancing their economic independence.

State and local administrators, however, place greater emphasis on educational and personal development goals and benefits than on those directly related to employment. Teachers and program participants rated these areas higher as well. Indeed, when asked for the main reasons they came to the adult

education program, almost half of the participants (46.2%) said it was to get their GED, and the other most commonly cited reasons were to gain basic reading, writing, and mathematics skills and to learn the English language. Very few of the participants reported their main reasons for coming to the program were to get a job (8.0%) or to improve their current employment (6.2%) and almost none of those with one of these two objectives reported it had been attained.

That state and local administrators, teachers, and participants should rate employment goals lower than educational or personal goals is not surprising. Almost all local projects are administered by school districts or other educational institutions and there are other more explicitly vocationally oriented adult education programs administered by CETA and other organizations available in most locales.

In conclusion, then, there is reasonable clarity and consistency regarding program purpose, although there is some disparity between the Congressional emphasis on employment related goals and the importance given these by administrators, teachers, and participants. In future assessments of the program, it will be important to recognize that job placement and job improvement outcomes typically receive little programmatic attention. Overwhelmingly, greater emphasis is placed on personal counseling, increasing participant self-confidence, and providing general academic and life coping skills than on vocational counseling or on specific occupationally related skills. From the perspective of most practitioners, the connection between the program and the marketplace is real, although somewhat tenuous and not really of major concern.

3. Participant Benefits

According to the best available estimates, 1.9 million adults were served by the adult education program in FY 1979 at a federal cost of $46 per participant. Overall, these participants tended to be females (58.8%), under 35 years old (65.1%), living within SMSAs (65.2%), members of ethnic minorities (56.7%) -- 27.4% were Black, 20.6% were Hispanic, 7.5% were Asian or Pacific Islanders, and 1.2% were American Indian or Alaskan Native. Over a fifth (22.4%) of the participants immigrated to the United States within the past ten years, about

half (50.2%) were employed, over a quarter (26.9%) received some form of public assistance, very few were physically handicapped (2.6%), and most (66.7%) had from 7 to 12 years of prior schooling. Participants in the ABE, ASE, and ESL components of the program differed primarily in terms of ethnicity, sex, urban/rural location, time of day they attended class, and the mode of instruction they received. ESL participants were more likely than others to be males of Hispanic or Asian/Pacific background, to attend classes in urban areas which met during the day, and to have received group as opposed to individualized instruction. ASE participants, in contrast, were more likely to be Caucasians residing in less urban areas who attended evening classes which met in secondary schools with teachers who individualized their instruction.

Generally, participants reported that they had successfully attained (41.7%) or partially attained (38.0%) their personal goals for entering the program. More specifically, 84% reported they thought better of themselves, 75% reported they could read better, 69% reported they were better at math and 66% reported they could write better as a result of the program. When asked to identify the most important result of being in the program, 72% of ESL participants said they could speak English better, 33% of the ABE participants said they could read, write, or do math better, and 22% of the ASE participants said they had received their GED certificate.

Teachers and project directors also reported positive student outcomes as a result of the program. Teachers reported the greatest improvements in the area of improved self-concept, then in student interest in learning, and then in academic skills. These areas were also cited by project directors as the most important, although they reported the greatest gains were in the area of academic skills.

Several programmatic factors were found to be associated with the positive participant results. Participants who were in the program over a year were more likely to report successful or partial goal attainment than those in the program less than a year. Also, participants with teachers assisted by aides or volunteers and participants with teachers who had participated in special course work in adult education carrying college or university credit in the previous two

years were more likely to report successful or partial goal attainment, and to report that they could write better as a result of their classes. Participants with aides or special coursework in adult education were also more likely to be enrolled in the program for over a year and to have improved their writing skills.

In conclusion, the program appears to be benefiting a reasonably large number of adults at a remarkably low federal cost. Those adults who are enrolled and remain in the program at least a year with teachers assisted by aides or recent formal training appear to benefit most. This suggests that especially important issues for the program are (a) who enrolls, (b) how long they stay, and (c) the quality of instructional interactions.

4. Clarity of Enrollment Focus

Program participation has been a central concern to policymakers and administrators since the federal adult education program began. Issues and assumptions regarding participants and participation are behind many of the 1978 legislative changes. Since the inception of the federal program, and again in 1978, the definitions of eligible and special populations were debated and modified.

The Adult Education Program target population as defined by current legislation covers all individuals over the age of 16 who lack sufficient basic educational skills to function effectively in society and who are not currently required to be in school (Sec. 303 of P.L. 91-230, as amended). This differs from the definition used in allotting federal funds to the states. The funding formula definition has been operationally defined as those adults identified by the U.S. Census as 16 years of age or older with less than a high school diploma who are not currently required to be enrolled in school. The latter definition incorporates a long-standing concern for grade level equivalence and high school certification, while the new legislation reflects the trend toward an emphasis on adult competencies and coping skills.

Added to these two is a definition provided by the National Advisory Council on Adult Education. The Council has suggested the program consider using the concept of a "demand population" which is defined as "those adults 16 years of age and older experiencing personal and social disadvantage due to inadequate basic education who actually want, demand, and are capable of using adult education."

When asked how they conceive of the target population in their states, different state directors identified each of the three. Three-quarters of the directors reported using the 1978 legislative definition and the rest were divided between the other two.

There is, legitimately, some concern that use of the demand population concept would eliminate those not needing or wanting formal school certification from estimates of the target population but it also might inhibit services to special populations which include the most in need. Many of the adults lacking the "sufficient mastery of basic education skills to function effectively in society" are the least likely to successfully seek out an adult education program.

The 1978 amendments to the legislation reflect Congress' particular sensitivity to those segments of the eligible population considered most in need of assistance. These include adults with limited English language skills, adults who live in rural areas or in urban areas with high rates of unemployment, institutionalized adults, the elderly, handicapped, and those who are culturally deprived or members of racial/ethnic minorities. Lack of data on the location and specific needs of these groups is a problem recognized by state and federal agencies,[5/] and the 1978 amendments to the Adult Education Act require states to "identify the needs of the population of the state for services authorized under this title" (Sec. 306 b(4)).

5/ Carlene Turman. Adult Education Needs Assessment. A report prepared for the Office of Education, Division of Adult Education, NCES, 1978. (mimeo). p.1.

Although special emphasis on specific adult populations has been part of the Act and its legislative history, implementation has not always been adequate.[6/] In a study on Adult Secondary Education programs, Muraskin and Fischer report that "as a whole, programs are dependent upon serving any student who enrolls and attends"[7/] (i.e., the demand population). They go on to note that programs serve educationally disadvantaged in only the broadest sense -- those without a high school diploma -- and that within that category no particular target groups are identified as the primary group for whom the program is intended.[8/] Mezirow et. al., also reported this pattern. "In a very real sense," they say, "ABE programs are 'creaming operations'." The least literate and most alienated tend to be excluded.[9/] With some notable exceptions, the site visits and discussions in this study suggest that little has changed in this regard. The needs assessment requirement of the 1978 amendments to the legislation are meant to correct this situation, but federal guidelines have always required inclusion of local target population definitions in state plans,[10/] and this is an activity which is widely viewed by state directors as unproductive.

In conclusion, then, there seems to be an overall lack of clarity regarding on whom the program should focus. Operationally, there are at least three different definitions and conceptions of the program's target population. These views of who should be served, or emphasized, have real implications for program efforts in outreach and recruiting and, subsequently, for instructional interactions as well.

6/ Office of Education, DHEW. Draft Regulations for Adult-Education State-Administered Program, February 1979, (mimeo). pp. 16 & 19.

7/ Lana Muraskin and Joan K. Fischer. Adult Secondary Education: The State of the ARt in GED Preparation and Credit Programs, News Brunswick, N.J., Rutgers University, 1976. (mimeo).

8/ Ibid.

9/ Mezirow, Darhenwald and Knox, op. cit., p. 55.

10/ Adult Secondary Education: The State of the Art in GED Preparation and Credit Programs, op. cit.

5. Participant Outreach and Retention

Over a third (35%) of the interviewed participants reported they learned about the program through a friend or acquaintance, 12% said they learned of it through a teacher or recruiter, and 12% credited newspapers for giving them their basic information. Project directors, on the other hand, reported the most widely used recruitment techniques were announcements in newspapers, fliers, posters, and home mailings.

When asked about techniques for special target groups (minorities, handicapped, etc.), the directors gave the same reply, except that referrals from community agencies ranked second after use of the mass media. Recruitment through co-sponsoring community agencies was especially effective for working with the elderly and institutionalized adults. In this regard, there were significant differences between LEA- and non-LEA-sponsored projects, with LEAs making greater use of newspapers, fliers, and mailings and non-LEAs working more closely with community agencies, groups and co-sponsoring programs.

In terms of effort, over 40% of the projects had no one assigned any specific responsibilities for recruiting, although about half of the teachers said they do become involved. Of the 111 local projects visited, about half were judged by the study's field staff to place a priority on outreach and recruiting. In this regard, it appears some projects are quite aggressive in their recruiting, although that is not the norm. From a broader perspective, however, it should be observed that in at least some of the states, the award of very small grants to out-of-the-way, small school districts, and to community-based organizations was viewed as in itself an important outreach technique. Also, some of these same states were beginning to offer local projects direct assistance in recruiting the least educated, minorities, and other special groups.

Overall, however, these findings regarding outreach are consistent with those of prior reports and suggest that local projects need assistance, especially regarding hard-to-reach populations. A 1973 nationwide study of ABE by the Systems Development Corporation (SDC) stated that while most states "provide guidelines for concentrating local ABE efforts on specific target populations at

the local level...few indications were given that there were any priority categories of students who would be vigorously recruited."[11/] Muraskin and Fischer confirmed this pattern, noting that "many local program administrators indicated that recruitment is not even an issue for them; there is no need for it."[12/] The SDC report went on to note that the most widely used method to recruit potential enrollees was the print media,[13/] while Mezirow, Darkenwald, and Knox have reported that word-of-mouth is probably the most effective way to reach the hard core individual.[14/] Friends, co-workers or other students provide the supportive conditions of confidence and trust such persons need before making a commitment to the program.

Outreach is only one aspect of the problem, however, the other being retention. Keeping students in the adult education program involves a process of matching the program to participant needs and characteristics, and giving special attention to identifying and removing the barriers to participation.

With respect to barriers to participation, lack of access to transportation, child care responsibilities, or lack of child care services, and conflicts with employment were the major obstacles reported by project directors and staff of community groups working with the target population. The participants who had withdrawn from programs prior to their considering they were complete provided essentially the same reasons, though with different emphases. The participants reported that employment conflicts (38%), illness of themselves or a family member (26%), child care responsibilities (16%), and lack of access to transportation (10%) were the major reasons they stopped coming to class. Other analyses, however, showed that the participants who were least likely to withdraw from classes were those whose teachers had recently participated in formal adult education

11/Systems Development Corporation. A Longitudinal Evaluation of the Adult Basic Education Program, November 1973, pp. 2-20.

12/Adult Secondary Education: The State of the Art in GED Preparation and Credit Programs, op. cit.

13/Systems Development Corporation, op. cit., pp. 2-71.

14/Mezirow, Darkenwald and Knox, op. cit., p. 47.

course work or had aides assisting them in class. These relationships between retention and teacher or classroom characteristics are consistent with Mezirow, Darkenwald, and Knox's earlier conclusion that the quality and kind of instruction is linked to retention rates.[15/]

In conclusion, there are some innovative and aggressive efforts at outreach, and coordination with other agencies in this regard is helpful. However, generally there is an essentially passive reliance on print media and word of mouth, and there is a need for technical assistance to states and local projects in this area. Retention of participants is also a problem, but there is some evidence to suggest it is associated with the quality of instructional interactions.

6. Characteristics of Instructional Settings

Eighty-one percent of the adult education projects are administered by local school districts, 12% are administered by community colleges, and the rest are administered by vocational institutes, educational service agencies, institutions and community-based organizations. Not surprisingly, therefore, 83% of the projects use elementary or secondary school buildings for at least some of their classes.

Project administrative responsibility and some use of elementary and secondary classrooms, however, does not imply that almost all participants attend class in a traditional school room. Participant data showed that only 38% of the students meet in elementary or secondary schools, 28% attend sessions in adult learning centers, 10% in community colleges and vocational/technical schools, and the remaining 25% in such other settings as churches, prisons, libraries, and private homes. These latter types of settings are more likely to be used by non-LEA- than LEA-administered projects, and by larger than smaller LEAs.

Within these settings the typical teacher is female with three or more years experience teaching adults (63%), who works with the project on a part-time basis (77%), teaching in the evenings (77%), six to nine months a year (50%). Overall,

15/ Ibid, p. 28.

each of these teachers works with about 48 adults per year, although range is from a low of five or six to a high of several hundred.

Instruction is provided in a variety of subject areas, with reading, writing, and math taught more extensively than other subjects. Many teachers, however, include several subjects in their courses. Approximately 20% teach English as a Second Language (ESL) to at least some of their students, 43% teach such coping skills as how to apply for a job or legal assistance, 30% include units in consumers' education, and nearly 25% provide some health education. In this regard, about 75% of the teachers and project directors indicated they thought competency-based instruction was appropriate in at least some of their courses, but many fewer reported placing great emphasis on any of the five competency areas within the Adult Performance Level system of competency-based adult education.

In performing their instructional tasks, about 35% of the teachers are assisted by volunteers or aides. Also, about two-thirds of the teachers either individualize their instruction or work with students in small groups. Although still not the norm, aides are most likely to work with ESL teachers (43%), with such assistance available for only 32% of ABE and 18% of ASE teachers. The extent of individualized instruction, on the other hand, is somewhat the reverse. Less than a third (30%) of the ESL teachers reported individualizing their instruction, while this approach was followed by a majority in ABE (57%) and ASE (52%).

In conclusion, the apparent assumption of the Congress in passing the 1978 amendments to the legislation, that most participants were meeting in elementary or secondary school classrooms, was not correct, even though the projects were overwhelmingly administered by local school districts which had at least some of their students in such facilities. Furthermore, much of the instruction, especially non-ESL, is individualized and incorporates a competency-based (but not necessarily the APL) approach to adult education. Thus, it appears that the emphases on these strategies within the adult education community over the past decade have had an effect, and that general criticisms of the program in this regard have been ill-founded as well.

7. Teacher Selection and Training

E er since the problem of undereducated adults became a national concern, there has been a recognized need for adequately prepared teachers. Mezirow, Darhenwald, and Knox maintain that in no other area of public education is there a greater need to professionalize instruction by making it relevant to the needs of a specialized population.[16] For the most part, the program's participants are adult members of distinct cultural minority groups who are educationally disadvantaged. Each of these factors requires teacher skills, some or all of which are not required in traditional elementary or even secondary school settings. Without sensitivity to the participant's age, cultural background, and educational level, and to the related classrooms' dynamics, the potential for inhibiting knowledge and skill development in program participants is increased.

Reported findings from this study and others regarding correlates of student benefits and retention confirm the importance of teacher-student interaction. In Rhode Island, for example, a program for English as a Second Language was reported to be very successful, largely because of the criteria for teacher selection. This program was "...not a program of highly paid, master's level teachers...hired for their academic qualifications..." Rather, the teachers selected for this program were carefully screened through interviews to assure that they: liked their students, liked the program, and were willing to contribute the necessary time and effort to achieve success.[17] Similarly, an evaluation of programs in the state of Washington concluded: "The most effective aspect of the curriculum was the attitude and skill of the instructors, and greater value was placed on the instructors' commitment to students than particular preparation for a given subject area.[18] These conclusions are quite consistent with those of this study regarding the importance of recent, formal

16/ Ibid, p. 156.

17/ Schaffan, J.A. and Boulmetis, J. Project ERA/COPE: FY1974 Final Report. Curriculum Research and Development Center of the University of Rhode Island. pp. 46-48.

18/ Crawford-Baird-Smith Corp. An Evaluation of Adult Basic Education in the State of Washington: Abstract, 1973.

training and the presence of classroom aides or volunteers. Recent course work is a clear indicator of a teacher's commitment and the presence of aides facilitates personalizing the instructional process.

Overall, only about 30% of the programs' teachers had completed college or university course work in ABE, ASE, or ESL subject areas during the past two years, although about 75% participated in some inservice staff development activities. Analyses of the relationship between inservice activities and participant benefits and the retention produced no meaningful results, but relationships were found with formal coursework in adult education.

These somewhat ambiguous findings regarding teacher training are consistent with other reports. A 1976 survey of relevant literature, for example, concluded that in some cases, there were negative effects on student achievement with increased amounts of training, superior student performance with untrained teachers in others, and no relationship whatsoever in still more.[19] Taken together, this suggests that a teacher's having recently taken coursework in adult education (as opposed to relying only on inservice activities) is an indicator of teacher concern and speaks more to criteria for teacher selection and retention than to the importance of the course work itself.

Related to the issue of teacher preparation are arguments regarding the importance of teacher certification. The data from this study showed that 94% of adult education instructors are certified teachers but only 32% of them are specifically certified in ABE, ASE, or ESL. According to the state directors, certification is required of at least some teachers in twelve states.

The obvious difficulty in requiring certification of adult education teachers lies in selecting appropriate criteria. Although several attempts have been made, Spear notes that none of the efforts to specify performance standards for teachers of adult basic education using the task analysis approach have been

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19/ William S. Griffith and Edward E. Marcus, Accreditation, Certification and Licensing for Adult Education Teachers: An Examination of Facts, Opinions, and Options, State Board of Education, Illinois Office of Education, 1977.

effective.[20] While no one denies the need for preparation, there is little agreement on what constitutes adequate preparation, and until this issue is resolved, the problem of certification cannot be completely overcome.

Also, as is apparent from the earlier discussion on the importance of such factors as teacher commitment, at least some of the elements which constitute a good instructor are not readily amenable to becoming part of the certification procedures. It is probably for this reason that no relationship was found in this study between teacher certification and either positive student outcomes or retention in the program.

In conclusion, there is no support in this study for expending energy on encouraging special certification requirements for adult education teachers. There is, however, a basis for encouraging (but not requiring) teachers to participate in courses and other university-based continuing education activities.

8. Auxiliary Services

The 1978 amendments to the legislation reflect the importance of providing services which supplement the adult education classes and enhance the opportunities adults have to participate. On the basis of data provided by the states in their Annual Performance Reports and the verbal testimony of participants and local practitioners, transportation and child care services have been presumed to be the most important and are specifically cited in the Act.

Overall, the most readily available services are personal counseling, job placement assistance, and social activities. The first two are typically provided by the teachers or project director in addition to their other activities; and they are viewed by teachers as the most important auxiliary services for a project to provide.

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[20] George E. Spear, ed., Adult Education Staff Development: Selected Issues, Alternatives and Implications, Kansas City: Center for Resource Development in Adult Education, University of Missouri, 1976. Quoted in Griffith and Marcus, op. cit.

Child care, transportation, and medical/health related services are available at only 22%, 28%, and 27% of the projects, respectively. Regardless of the type of service, however, these services are more prevalent at non-LEA-sponsored than LEA-administered projects and at the larger than the smaller LEAs.

According to project directors, the most utilized service was personal counseling; used by about 75% of the participants when it was available. Other services, even when present, were not as widely used. Over 50% of directors indicated 35% or fewer of their participants used other services when they were offered. No relationship between the availability of these services and the length of time participants remained in the program was found.

The directors' reports of minimal usage were confirmed by the participants. Only about 2% of those interviewed reported ever having used program-provided transportation services, only 1% reported ever using child care services, and only 5% said they had ever attended special social or cultural events. Eleven percent, however, reported receiving help with personal problems, while 4% reported receiving help in finding a job.

In general, it is difficult to tell whether this low level of usage is more attributable to the lack of available services, the lack of the participants' knowledge that the services exist or the lack of need, although all these factors probably play some part. In addition, the participant recruitment and enrollment process also must have some effect. Some individuals needing transportation or child care may simply never enroll when these are absent. But over one-half (54%) of those interviewed had children under 18 years of age and over one-third (37%) had at least one child under school age. Additionally, in some of the larger programs, adults in need of these services are referred by the program to other education programs for adults (e.g., those run by CETA, or Title XX) where services are to be found.

In conclusion, there are few supportive services available to adult education participants, although teachers, project directors, and aides provide substantial amounts of informal counseling when they can. The need for increased child care and transportation services has probably been overstated in the field; these are

important services for some participants but clearly not needed by most. Whether the demand for services will increase if more of the "least educated and most in need" join the program is not known, but it is likely that they will.

9. Role of the States and Statewide Planning

Each of the states and the District of Columbia is funded under the Adult Education Act to operate a statewide adult education program. In terms of the Adult Education Act, the primary roles of the state offices of adult education to plan the expenditure of federal and related non-federal funds and then to manage the implementation of those plans.

The federal allotment to the states in FY 1980 was $100 million, with individual state allocations ranging from $240,000 to over $8 million. States are allowed to spend up to 5% of their allotment, or a minimum of $50,000, on state administration. Another 10% is for teacher training, and research projects. The remainder is expended on local projects of instruction. In FY 1980, the states awarded 2,741 local project grants. The number of grantees was between one and 206, but the median number was 40.

A total of 233 administrative and supervisory personnel work with state adult education programs, but this represents only a median of 2.71 full-time equivalents per state. Generally, the staffs are based in the central office and have both geographic and functional assignments. Their major functions are: planning and coordinating adult education activities, working with other agencies, funding local projects, and providing them technical assistance, and monitoring and reporting on state and local activities.

The 1978 amendments to the legislation made substantial changes in state planning requirements. These modifications broadened both the time frame and the information base states must consider when developing plans for adult education activities. The one-year time period state plans were required to encompass was extended to three years, and new plans were to be based on needs assessments and developed through a broadly based, participatory process. These steps were taken to help ensure that adult education programs serve all segments of the eligible populations in a state.

Reactions to the needs assessment requirement have been cool. Present funds are not sufficient to allow needs assessment activities to be carried out, but in any case, most directors believe data from needs assessments would change their current figures on the size of target populations by less than 10% and have little impact on populations to be served by adult education programs. States currently rely primarily on census data when developing their plans, and update this information where possible with specially focused surveys and data which are sometimes available from other agencies in the state. Most state directors have not perceived a need to establish the capacity to conduct statewide assessments and the directors in 26 states did not feel the time they spent in the past year developing a needs assessment was worthwhile.

Efforts to comply with the requirements to plan state programs through a participatory process have varied. In some states the planning process largely resembles that used by these states before passage of the 1978 amendments. In others, processes for widespread participation have been developed which are relatively inexpensive to implement. Overall, the two most serious hindrances to the mandated process were the states' uncertainties regarding how to involve the groups mandated by the legislation (e.g., representatives of special adult populations and urban unemployed) in planning and the extent to which there should be involvement in planning and continued operations. As a way of avoiding these issues, many states simply passed responsibility for securing broad involvement on down to the local project level. Although relatively content with whatever their means of dealing with the new procedural requirements, many state directors indicated a desire for more clarity about the federal expectations and some additional, very practically oriented technical assistance in this regard.

That state and federal time invested in the state planning process is important was reflected in the views of local project directors. Slightly over 85.1% of the directors reported they were familiar with their state plan, and over 50% of these directors indicated that within the past year, the plan had influenced their project regarding how target populations were defined and the relative emphasis placed on various instructional areas. About 40% also indicated that their state plan had effected their collaboration with other community groups.

In conclusion, then, it appears that state planning has an impact at the local level and, therefore, is an important SEA activity and one worth federal concern. Formal, statewide needs assessments seem less important, however, especially given the unclarity regarding the target population. Broad, meaningful participation in the planning process is spotty at best, but there are examples of participartory planning at relatively low marginal costs. Assistance to the states in this area is needed and desired.

10. Federal-State-Local Partnership

The major thrust of the adult education regulations is to expand educational opportunities for those adults who are least educated and most in need of assistance. In carrying out its mission, the Division of Adult Education established a partnership with the states, commonwealths, and territories. The maintenance and improvement of this federal-state partnership, created in the 1960's is an important goal of the DAE, and the entire Education Department.

Federal level adult education activities, once regionalized, are now centralized in Washington D.C. Two branches operate under the Division's Director, one dealing with program development and the other with field operations and services. Together, they interact with states through the development of regulations, the review of state plans, the provision of technical assistance, and various processes for program monitoring, evaluation, and reporting.

DAE staff are assigned responsibilities functionally rather than geographically in the belief that the functional division is advantageous because it allows the staff to approach their tasks with national perspective. State adult education personnel, however, believe centralization has reduced the usefulness of the assistance they receive from DAE and favor returning to geographically based assignments of responsibilities.

DAE affects state and local programs through developing program regulations, reviewing state plans, monitoring and evaluating state operations, and providing technical assistance. Monitoring federally-funded state programs is accomplished primarily through one-to-one telephone contacts, discussions at regional and national meetings, and the Management Review for Program Improvement (MRPI), a cooperative process with the Department of Education's Vocational Education Program.

During the transition period created by the changes in the Act by the 1978 legislation, technical assistance was provided in planning and developing three-year state plans, conducting needs assessments, expanding supportive services, developing and documenting interagency cooperation and collaboration, and expanding local grantees to include private nonprofit agencies. According to both DAE staff and state directors, there is a constant need for clarification of a wide range of problems and resources. This is especially important since, by necessity, DAE provides much of its technical assistance by telephone, through the mails, or at a limited number of regional or national meetings. The federal DAE budget severely limits site visits and direct face-to-face contacts.

Each year, the Division of Adult Education receives a variety of information about its funded programs. This includes program performance and financial reports from each state, results of the MRPI reviews, and copies of the evaluations of special projects and other materials funded through the state grants. The most uniform information on the program comes from the Annual Performance Reports submitted by the states. While some of the information on these reports is judged quite unreliable, overall the project directors' ratings and the consistency with this study's results suggest its quality is reasonably high.

In terms of the extent and quality of the assistance supplied, most state directors (42) reported receiving some form of non-financial assistance from DAE in the past year, and 60% rated the technical assistance they received to be moderately to highly useful. Conversely, the assistance received was not highly valued by all states, with some indicating they had received essentially none at all.

As a specific form of assistance, the Annual Performance Reports and other statistical information from DAE are considered by the states to be of quite limited worth. The compilaton of data is usually published at least three years after the year under study and there have been fairly frequent changes in the report itself. Since 1973, there have been four versions of Adult Education Annual Performance Report. A major revision to this form, reflecting the requirements of the 1978 legislation, is being developed for use in the 1980-81 program year and further revisions for the future have been discussed.

The functional relations between the states and local projects parallel those between the federal and state levels of the program. Local project directors indicated there is a relatively high level of interaction between themselves and their SEAs. Of local directors, 62% said that they have had a great deal of contact with their state adult education offices while an additional 33% said at least some contact with the SEA had occurred during the past. Local director ratings of the helpfulness of SEA assistance shows a reasonably high level of satisfaction with state offices as well. Sixty-nine percent of local projects felt assistance from the SEA had been very helpful. SEA assistance was at least somewhat helpful in the opinion of another 25% of local project directors. In terms of the future, local directors indicated a desire to receive assistance in planning and budgeting, staff development, and outreach and recruiting.

In conclusion, the relationship between the federal and state levels is spotty; relations with some states are very good, but with others they are not. Similarly, the quality of federal-state interactions is uneven, although the quality of state to federal reporting through the annual performance report is reasonably high. Generally, relations between state and local levels are quite good with a considerable amount of contact which is judged to be helpful. There are essentially no relations between the federal and local levels of the program.

In terms of grand, overall conclusions, perhaps the broadest pertains to the related issues of target populations and outreach. The legislation and DAE seem to be quite clear in signaling the state and local programs to become more aggressive in seeking out those adults determined to be most in need. State and local administrators, however, are reluctant to respond. In part, this is

because programs are now filled with the expenditure of little or no effort on recruitment, and there is a natural resistance to change. In part, they also are not certain who is meant by the "most in need," how to proceed to find them, or entirely convinced that emphasizing these individuals as opposed to those most desiring adult education is the appropriate way to proceed. In part, too, they have valid concerns about the expenses involved in terms of additional costs of recruiting, instruction, and supportive services in a time of inflation and relatively unstable resources.

There is real concern among administrators that the net effect of seriously trying to implement the 1978 amendments call for expanded services to those most in need will cause a reduction in the overall numbers served and an increase in the per participant costs. State and local directors are quite concerned about now state and local legislators would react to such a trend and the implications for their financial support. They also express concern about the ultimate reaction of Congress as well.

To some extent, these concerns reflect a basic mistrust of the federal establishment, which was exacerbated just prior to the start of this study by the centralization of DAE's regional staff. During the period of the study, there seems to have been some improvement in this regard, and that is a positive sign. The importance of the federal role in the overall system of program implementation cannot be denied. It was seen clearly in this study in data relating to the influence of the legislation on state plans and in turn in the impact of these plans the local project level. More indirectly, but perhaps more clearly, the leadership role of DAE with respect to adult competency-based education could also be demonstrably observed.

On completion of the study's field work, Development Associates' staff were asked their summary assessments of the projects they had seen, and a near unanimous view was that the government's money had been well spent. Project staff were working and participants were learning. From a national perspective, however, what appears to be needed in the decade of the 1980's is emphasis on more clearly targeting the federal program and on helping local projects serve the targeted population groups.

APPENDIX

CONFIDENCE INTERVALS ASSOCIATED WITH NATIONAL-LEVEL ESTIMATES OF SELECTED CHARACTERISTICS OF ADULT EDUCATION PROGRAMS FALL 1979

CONFIDENCE INTERVALS ASSOCIATED WITH NATIONAL-LEVEL ESTIMATES OF SELECTED CHARACTERISTICS OF ADULT EDUCATION PROGRAMS FALL 1979

The statistics presented in this report are based on probability samples of adult education projects and their participants. As such, they are likely to vary somewhat from the figures that would have been obtained if a complete census had been taken using the same forms, procedures and instructions. The difference between a statistic estimated from a sample and its corresponding census value occurs due to chance, and that chance variation can be measured in terms of confidence intervals. Thus, for each national-level estimate one can calculate the certainty they are that the reported confidence interval will include the true population value. To provide an example, the chances are 95 out of 100 that the estimated total number of ABE students for the Fall 1979 school year, 337,434, plus or minus 82,546, will include the population value obtained by performing a census. Thus, the 95% confidence interval is the following:

357,434 $\pm$ 82,546, or a range of 274,888 to 439,980.

The following table includes the estimated national-level sample statistics and 95% confidence intervals for program characteristics selected as being of particular interest to policymakers and planners. The national-level estimates are based on data from the mail survey of local project directors (see Chapter 2 for a discussion of sampling and analysis procedures), and the confidence intervals were computed as follows:

1. Variance estimates:

$$\hat{Var}\,(\hat{Y}_{st}) = \sum_h M_h^2 \left(1-\frac{m_h'}{M_h}\right) s_h^2 = \sum_h M_h^2 (1-f_h) \frac{\sum_{i=1}^{m_h'} (Y_{hi}-\bar{y}_h)^2}{m_h'-1}$$

where M_h is the total number of projects in the universe in the h^{th} stratum; m_h' is the number of responding sample projects in the h^{th} stratum

and the summation $\sum_{i=1}^{m_h'}$ is only over the respondents; Y_{hi} is the variable of interest for the i^{th} project in the h^{th} stratum (e.g., number of students in ABE in fall 1979).

$$\bar{y}_h = \frac{\sum_{i=1}^{m_h'} y_{hi}}{m_h'}.$$

The implicit assumption in the above formula is that the nonrespondents are "like" the respondents so that the sample in each stratum can be viewed as a random sample of m_h' respondents out of M_h in the h^{th} universe stratum.

2. Confidence Intervals (95%):

$$\hat{Y}_{st} \pm 1.96\sqrt{\hat{V}ar(\hat{Y}_{st})}$$

where the t value of 1.96 indicates more than 60 degrees of freedom. While all strata had a contribution to the estimate $\hat{Y}_{st} = \sum_h M_h \bar{y}_h$, the institutions stratum in which there were 14 respondents out of 14 in that stratum made no contribution to the estimate of variance since the finite population correction $1 - \frac{m^{h'}}{M_h}$ equalled 0.

CONFIDENCE INTERVALS ASSOCIATED WITH NATIONAL-LEVEL ESTIMATES OF SELECTED CHARACTERISTICS OF ADULT EDUCATION PROGRAMS, FALL 1979

(Based on Mail Survey of 403 Local Project Directors Selected from A National Total of 2,040 Local Projects)

Characteristics	National-Level Estimate	95% Confidence Interval
Total Enrollment in Adult Education Programs including ABE, ASE, ESL, General Interest and Work Related Courses	1,807,390	364,701
Total ABE Enrollment	357,434	82,546
Total ASE Enrollment	305,294	71,939
Total ESL Enrollment	154,510	63,954
Number of Teachers Working with ABE/ASE/ESL	40,630	8,456
Number of Projects Offering Child Care Services	431	80
Number of Projects Offering Transportation Services	556	91
Number of Projects Using Elementary or Secondary School Facilities for Instructional Purposes	1,683	75
Number of Projects Using Community-Based Facilities* for Instructional Purposes	1,018	100
Number of ABE/ASE/ESL Participants Aged 21 or Under	173,257	39,035
Number of ABE/ASE/ESL Participants Between 35 and 59 Years of Age	211,672	42,068
Number of ABE/ASE/ESL Participants 60 Years Old or More	47,944	10,157
Number of Hispanic ABE/ASE/ESL Participants	134,462	59,200
Number of American Indian/ Alaskan Native ABE/ASE/ESL Participants	10,903	3,101
Number of ABE/ASE/ESL Participants of Asian or Pacific Origin	58,816	18,722
Number of Black, not Hispanic ABE/ASE/ESL Participants	208,015	64,066
Number of White, not Hispanic ABE/ASE/ESL Participants	352,657	52,643

*Facilities such as churches, community centers, employment sites, hospitals, private homes, and public libraries.